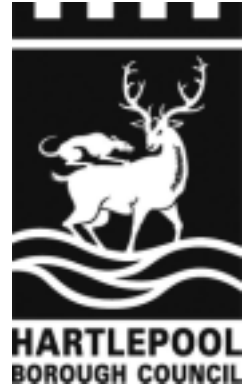


REPLACEMENT AGENDA

CABINET AGENDA



Monday, 22 November 2010

at 9.15 am

in Committee Room B, Civic Centre, Hartlepool

MEMBERS: CABINET:

The Mayor, Stuart Drummond

Councillors Brash, Hall, Hargreaves, Hill, Jackson, Payne and H Thompson

1. APOLOGIES FOR ABSENCE

2. TO RECEIVE ANY DECLARATIONS OF INTEREST BY MEMBERS

3. MINUTES

- 3.1 To receive the Record of Decision in respect of the meeting held on 8 November 2010 (previously circulated)

4. BUDGET AND POLICY FRAMEWORK

- 4.1 Core Strategy Preferred Options Report – *Director of Regeneration and Neighbourhoods*

5. KEY DECISIONS

- 5.1 Business Transformation – Social Inclusion/Vulnerable Pupils/SEN Service Delivery Options Report – *Director of Child and Adult Services*
- 5.2 Third Local Transport Plan (LTP3) – *Director of Regeneration and Planning*
- 5.3 Business Transformation – Service Delivery Review Options Analysis Report for Children's Social Care and Prevention Service – *Director of Child and Adult Services*

REPLACEMENT AGENDA

6. OTHER ITEMS REQUIRING DECISION

- 6.1 Business Transformation – Sure Start, Extended Services and Early Years – Service Delivery Options Review – *Director of Child and Adult Services*

7. ITEMS FOR DISCUSSION/INFORMATION

- 7.1 Re-Inspection Of The Youth Offending Service – *Director of Child and Adult Services*
- 7.2 Business Transformation – Quarterly Programme Update – *Chief Executive*
- 7.3 Quarter 2 – Capital and Accountable Body Programme Monitoring Report 2010/2011 – *Chief Finance Officer*
- 7.4 Quarter 2 – Corporate Plan and Revenue Financial Management Report 2010/2011 – *Corporate Management Team*

8. REPORTS FROM OVERVIEW OF SCRUTINY FORUMS

No items

EXEMPT ITEMS

Under Section 100(A)(4) of the Local Government Act 1972, the press and public be excluded from the meeting for the following items of business on the grounds that it involves the likely disclosure of exempt information as defined in the paragraphs referred to below of Part 1 of Schedule 12A of the Local Government Act 1972 as amended by the Local Government (Access to Information) Act 1985

9. EXEMPT KEY DECISIONS

No items

10. EXEMPT ITEMS REQUIRING DECISION

No items

11. EXEMPT ITEMS FOR DISCUSSION/INFORMATION

No items

12. EXEMPT REPORTS FROM OVERVIEW OF SCRUTINY FORUMS

- 12.1 Call-in of Cabinet Decision – Senior Management Review (para 2) – *Scrutiny Co-ordinating Committee*

6. OTHER ITEMS REQUIRING DECISION

- 6.1 Business Transformation – Sure Start, Extended Services and Early Years – Service Delivery Options Review – *Director of Child and Adult Services*

7. ITEMS FOR DISCUSSION/INFORMATION

- 7.1 Re- Inspection Of The Youth Offending Service – *Director of Child and Adult Services*
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No items

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No items

10. EXEMPT ITEMS REQUIRING DECISION

No items

11. EXEMPT ITEMS FOR DISCUSSION/INFORMATION

No items

12. EXEMPT REPORTS FROM OVERVIEW OF SCRUTINY FORUMS

- 12.1 Call-in of Cabinet Decision – Senior Management Review (para 2) – *Scrutiny Co-ordinating Committee*

CABINET REPORT

22 November 2010



Report of: Director of Regeneration and Neighbourhoods

Subject: CORE STRATEGY PREFERRED OPTIONS REPORT

1. PURPOSE OF REPORT

This report seeks approval, for consultation purposes, of the revised Core Strategy Preferred Options report and authorisation for officers to progress the associated consultation process.

2 SUMMARY OF CONTENTS

The Planning and Compulsory Purchase Act 2004 establishes the requirement on local authorities to prepare a Local Development Framework (LDF) setting out the planning framework for their area. A key element of the LDF is the Core Strategy which provides the overall spatial vision and strategic planning objectives for the Borough. The preparation of the Core Strategy involves a number of prescribed stages which are set out in statute. Following consideration of the initial Issues and Options report, Cabinet has reflected on public feedback on the subsequent Preferred Options document along with changes to the planning system introduced by the new Government, and other significant policy changes which have implications for planning, including the cancellation of the Building Schools for the Future Programme. At their meeting held on 6th September 2010, Cabinet authorised officers to re-consult on a revised Preferred Options Document.

This report summarises the background to the preparation of the revised Preferred Options document, presents the revised document for endorsement and seeks Cabinet approval to carry out public consultation on this report in line with statutory requirements.

3. RELEVANCE TO CABINET

The Core Strategy sets the strategic planning framework for the town over the next fifteen years and will impact across a number of portfolios.

4. TYPE OF DECISION

The Core Strategy forms part of the plans and strategies which together comprise the development plan and is part of the Budget and Policy Framework.

5. DECISION MAKING ROUTE

Cabinet 22nd November 2010

6. DECISION(S) REQUIRED

Cabinet is requested to:

- i) Approve the revised Core Strategy Preferred Options Report for public consultation purposes.
- ii) Authorise officers to carry out public consultation on the Report.

Report of: Director of Regeneration and Neighbourhoods

Subject: CORE STRATEGY PREFERRED OPTIONS REPORT

1. PURPOSE OF REPORT

- 1.1 This report seeks approval, for consultation purposes, of the revised Core Strategy Preferred Options report and authorisation for officers to progress the associated consultation process.

2. BACKGROUND

- 2.1 The Planning and Compulsory Purchase Act 2004 establishes the requirement on local authorities to prepare a Local Development Framework (LDF) setting out the planning framework for their area. A key element of the LDF is the Core Strategy which provides the overall spatial vision and strategic planning objectives for the Borough. The preparation of the Core Strategy involves a number of prescribed stages which are set out in statute. Following consideration of the initial Issues and Options report, Cabinet has reflected on public feedback on the next stage of the process, the Preferred Options document, which was approved in January and subject to an eight week consultation period.
- 2.2 The stage following Preferred Options is the preparation of the Publication document, which effectively sets out the policies which the Council propose to adopt. Although subject to further consultation it would not be expected to change significantly before being submitted to the Secretary of State who would arrange for the policies to be 'tested' through a public enquiry.
- 2.3 On 6th September 2010 Cabinet considered a report which provided detailed feedback on the Preferred Options document produced in January and also highlighted a number of significant changes in national policy which have taken place since the election of the new Government. These changes primarily relate to the abolition of the Regional Spatial Strategy (RSS) which provided the regional policy context for LDFs. LDF's no longer need to take account of policies in the RSS. The main implications of the abolition of the RSS can be summarised as follows:-
- **Removal of the housing growth targets** allowing local authorities to determine their own targets. Revised targets

must, however, be set through a detailed assessment of need, and evidence must be provided to justify any changes. In addition, the new government continues to prioritise housing growth by offering financial incentives to local authorities by providing a New Homes Bonus grant for each property built with an expectation that this additional resource will support the delivery of the LDF.

- **Removal of requirements relating to employment land.** Previously the RSS safeguarded land for general employment, port related activity, chemicals and steel uses and key employment location. Whilst it is advisable that the Council continues to allocate land for such purposes, it now has greater freedom to decide these locally.

2.4 The report to Cabinet on 6th September also set out details of feedback from the consultation on the January Preferred Options report which included 460 responses, 395 of which were from individual Hartlepool residents, 5 from statutory consultees, 15 from consultants/housebuilders and 45 from other stakeholder groups and organisations. Full details of the consultation responses are in the Consultation Statement which is available on the Council's website.

2.5 At the above meeting Cabinet considered in detail the implications of the above Government policy changes and the consultation feedback. After detailed discussion on individual issues Cabinet gave its views in relation to key policy issues and instructed officers to re-consult on a revised Preferred Options Document.

3. ISSUES AND PROPOSALS

3.1 The revised Preferred Options document reflects the views expressed previously by Cabinet. It also takes account of representations made by residents and other stakeholders including statutory consultees and the evidence base provided by various detailed studies including the Hartlepool Retail Study 2009, the Strategic Housing Land Availability Assessment 2010 (SHLAA), the 5 Year Housing Land Supply 2009, the Hartlepool and Tees Valley Tees Valley Housing Market Assessments 2007 and 2008 (SHMA), the Employment Land Review 2008. The Tees Valley Green Infrastructure Strategy 2008, the PPG17 Open Space Assessment 2008, Strategic Flood Risk Assessments 2007 and 2010 and the Central Area Investment Framework 2009. A copy of the draft, revised Preferred Options document will be sent out to Cabinet Members in advance of the meeting on the 22nd November, 2010.

3.2 Officers have subsequently carried out a detailed re-assessment of housing targets on the basis of government guidance which takes account of housing need, growth performance over recent years,

household formation projections and economic growth aspirations. This concludes that although housing growth is required to accommodate future needs, the RSS target of 395 net dwellings per annum is likely to be unachievable and a more realistic net figure is 320, taking account of planned demolitions. There remains, however, a need to identify sites for a range of housing needs including affordable and executive housing and the revised Preferred Options document reflects these requirements in terms of policy and site identification.

- 3.3 Reflecting the above position, the revised Core Strategy proposes a reduction in the scale of development of the South Western Extension (Claxton, Brierton, Eaglesfield Road) from 2750 dwellings to 2400 during the 15 year plan period. This strategic site will also include a site reserved for a primary school which will be built as needs arise. Following consultation feedback and a site visit with resident representatives and ward councillors the proposed green wedge at this site has been significantly expanded.
- 3.4 A reduction is also proposed to the Quarry Farm site from 300 to around 50 dwellings which will focus on the provision of executive housing. As agreed by Cabinet in September, executive housing sites at Tunstall Farm and Wynyard Woods are also included. An additional executive site at Wynyard Park has also been included which, along with the Wynyard Woods site seek to address a sub-regional shortfall of this type of accommodation. Land at Upper Warren, and two small village extensions (at Hart and Elwick) together with sites within the urban area with existing planning permissions and identified within the Strategic Housing Land Availability Assessment (SHLAA), provide other housing sites for the plan period. Policies are included which aim to control densities of development on these sites.
- 3.5 Policies are also included in the revised Preferred Options document which recognise the importance of providing affordable housing either on site or in support of sustaining the Council's housing market renewal programme. Following advice from Government Office it is no longer intended to prepare a separate Affordable Housing Development Plan Document (DPD) as it is expected that such policies should be included within the Core Strategy. Incorporation within the Core Strategy will have cost saving benefits in terms of not having to hold a separate public inquiry for each DPD.
- 3.6 In terms of supporting economic growth and employment, the revised Preferred Options document recognises the importance of supporting the development of the land at Victoria Harbour for port related uses. In particular policies are included which seek to facilitate the major investment and job creation opportunities relating to construction and supply chain businesses associated with offshore wind and renewable energy. Cabinet has previously noted representations made by the port owners, PD Ports, for retention of some land at Victoria Harbour

for some mixed-use including housing, but the document reflects officers concerns that the housing locations would be incompatible with adjacent heavy engineering and fabrication uses, and the importance of ensuring that any mixed-use scheme should be on the basis of a properly planned and phased master plan rather than by a piecemeal approach.

- 3.7 In terms of other employment sites, Wynyard Business Park is identified as a Prestige Employment site reflecting its importance to the regional economy. As mentioned above, a small area is proposed for executive housing, and the plan also acknowledges that there is planning consent for a new hospital development.
- 3.8 Queen's Meadow and North Burn are retained as Higher Quality Employment Sites, and there are also allocations for General Employment Land, Specialist Steel and Chemicals, Port Related uses, an Eco-industries Cluster focused around North Graythorp and reservation of land for a replacement nuclear power station.
- 3.9 At the meeting in September, Cabinet agreed to the removal of the North Burn site as employment land on the basis that it was unlikely that the land would be developed within the plan period and also reflecting the cost of providing infrastructure, particularly a new access to the site from the A19. Since then, however, potential interest has emerged which could see the site being brought forward earlier than anticipated and it is now proposed that the site be retained within the plan.
- 3.10 Other policies remain largely unchanged although in response to feedback from the consultation, some policy wording has been amended from the previous document. Reflecting emerging changes in Government policy, some policies have been modified to provide greater guidance and clarity which will assist the development management process.
- 3.11 There remains an emphasis on protecting and strengthening the role of the town centre as a retail and cultural centre and on supporting regeneration of the central area to support investment. Policies also support the development of the green infrastructure network, protecting the natural and historic environment, improving transport links and connectivity and adapting to climate change. A new Green Wedge is proposed on land formerly allocated for employment uses at Golden Flatts. This will help alleviate flood risk along the Stell watercourse and act as a buffer between residential and industrial land.
- 3.12 The revised Preferred Options document has been subject to a Sustainability Appraisal details of which will be made available on the Council's website. Other supporting documents will also be made available including the Consultation Statement from the previous

Preferred Options consultation and the Housing Implementation Strategy November 2010 which supports the proposed housing policies.

4 CONSULTATION

- 4.1 The next stage of the process requires the revised Preferred Options document to be subject to a further period of consultation. This involves a statutory period of eight weeks where residents, statutory consultees and other interested stakeholders will be encouraged to submit representations. This period will run from 29th November to 11th February.
- 4.2 It is important to encourage as many people as possible to participate in the consultation process. It is intended therefore to send letters to every household in the Borough advising them of the consultation process and how they can get involved. Articles will also be published in Hartbeat and the local press; presentations will be made to the Neighbourhood Consultative Forums; information displays posted in Middleton Grange Shopping Centre and local supermarkets and the Central Library, which will be staffed at advertised times. Details will also be posted on-line with information on how to respond to the consultation. As with the previous consultation, officers will attend meetings of the Hartlepool Partnership, the Chamber of Commerce, the Economic Forum, the Housing Partnership, the Youth Forum and Talking to Communities. Meetings with other interested groups will be arranged on request.

5 LEGAL CONSIDERATIONS

- 5.1 There is a statutory duty to prepare a Local Development Framework (LDF) in accordance with the Planning and Compulsory Purchase Act 2004. The Core Strategy is the main Development Plan Document which forms part of the LDF.

6 EQUALITY AND DIVERSITY CONSIDERATIONS

- 6.1 Consultation on the Preferred Options document will be carried out in accordance with the Council's adopted Statement of Community Involvement (SCI). The SCI was prepared in compliance with the Hartlepool Compact and its associated protocols.

7 FINANCIAL CONSIDERATIONS

- 7.1 There will be some, relatively small, additional costs associated with publicising and managing a further Preferred Options consultation

process and these costs would need to be funded through existing departmental budgets. There could be long term savings relating to reduced costs associated with the 'Examination in Public' stage if objections/issues can be resolved through revised Preferred Options. Savings will also be achieved by incorporating affordable housing and housing allocation policies within the Core Strategy, rather than in separate DPDs as this will remove the requirement to hold separate public inquiries on each DPD.

8 RECOMMENDATIONS

8.1 Cabinet is requested to:

- iii) Approve the revised Core Strategy Preferred Options Report for public consultation purposes.
- iv) Authorise officers to carry out public consultation on the Report.

9. REASONS FOR RECOMMENDATIONS

9.1 Consultation on the Preferred Option Document is a statutory requirement.

10. CONTACT OFFICER

Derek Gouldbum
Urban and Planning Policy Manager
Bryan Hanson House
Hanson Square
Lynn Street
Hartlepool
TS24 7BT

Hartlepool Local Development Frame work Core Strategy Preferred Options Report November 2010

Contents Page

Chapter	Section	Page Number
1	Introduction	4
2	The Core Strategy Preferred Options 2	8
3	The Borough of Hartlepool	13
4	A Spatial Vision for Hartlepool	15
5	Core Strategy Themes and Objectives	17
6	The Locational Strategy Policy CS1	21 25
7	Minimising and Adapting to Climate Change Policy CS2	28 35
8	Transport Policy CS3 - Strategic Transport Policy CS4 - Improving Connectivity	36 40 41
9	New Development Policy CS5 - Planning Obligations Policy CS6 – Community Facilities and Services	42 45 48
10	Housing Policy CS7 – Housing Market Renewal Policy CS8 – New Housing Development Policy CS9 - Overall housing mix Policy CS10 – Affordable Housing	49 49 58 61 64
11	Strengthening the Local Economy Policy CS11 - Prestige Employment sites Policy CS12 - Higher Quality Employment sites Policy CS13 - General employment land Policy CS14 – Eco industries area Policy CS15 – Specialist Industries Policy CS16 – Underground Storage Policy CS17 – Commercial centre Hierarchy Policy CS18 - The Town Centre Policy CS19 -The Edge of Centres Policy CS20 - The Local Centres Policy CS21 – Night time economy Policy CS22 - Leisure & Tourism Policy CS 23 - Rural Economy	65 74 75 76 77 77 78 80 83 86 88 90 94 98
12	Environment Policy CS24 - Built Environment Design, Sustainable Policy CS25 - Conservation Areas Policy CS26 - Listed Building Policy CS27- List of Locally Important Buildings Policy CS28 - Green Infrastructure Policy CS29 - Natural Environment	103 108 109 110 115 118
Appendix 1	Glossary of Terms	
Appendix 2	Definition of a Sustainable Location	
Appendix 3	Local Centre Boundaries	

Chart Number	Chart Name	Page Number
Chart 1	Development Plan & LDF for Hartlepool	5
Chart 2	Key Stages Leading to Adoption of Core Strategy	8

Key Diagrams	Diagram Name	Page Number
Key Diagram 1	Strategic Locations	27

Key Diagram 2	Employment Locations	73
Key Diagram 3	The Central Area	81

Table number	Table Name	Page
Table 1	Hartlepool Key Facts	14
Table 2	Hartlepool SWAT Analysis	15
Table 3	Core strategy objectives and Hartlepool ambition	17
Table 4	Hartlepool core strategy preferred options themes	18
Table 5	List of core Strategy Chapters and Preferred Options Policies	20
Table 6	Housing Need Provision Over the Next 15 Years	51
Table 7	Future Housing Provision Over the Next 15 Years	53
Table 8	Predicted Phasing of Housing Sites over the Next 15 Years	55
Table 9	Phased delivery	57
Table 10	Housing Stock Mix in the Borough	60
Table 11	Examples of Environmental Domains comprising the Eco-industries Market	71
Table 12	Code level target dates	101
Table 13	Proposed standards and provision within the North, Central and South Neighbourhood Consultative Forum Areas	113

Graph number	Graph Name	Page
Graph 1	Predicted Phasing Trajectory of Housing Sites over the next 15 years	56

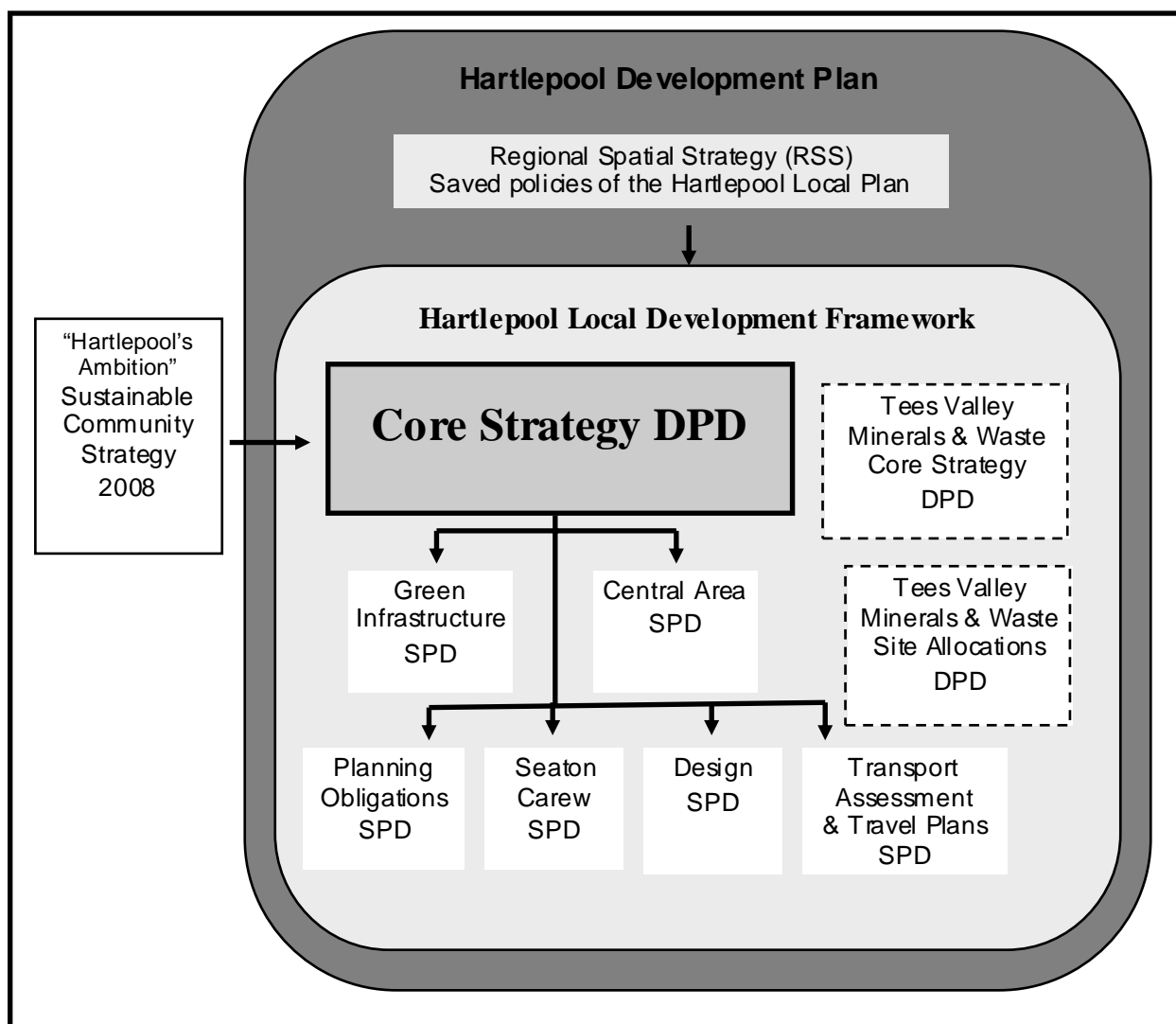
1. INTRODUCTION

- 1.1 In 2004 the Government introduced a new development planning system to replace the Local Plan system. The new system, termed the “Local Development Framework” involves the production of a series of documents that are more spatially orientated, streamlined and flexible.

What is the Local Development Framework?

- 1.2 The Local Development Framework system brings together and integrates policies for the use and development of land with other policies and programmes which influence the nature of places and how they function. Documents within the Local Development Framework will ensure the most efficient use of land by balancing competing demands in accordance with a clear, distinctive and realistic vision of how the area will develop and change within a demonstrable context of sustainable development.
- 1.3 The Local Development Framework will comprise a number of documents as shown in Diagram 1 below. These documents known as Development Plan Documents (DPD's) and Supplementary Planning Documents (SPD's) form the statutory Development Plan for Hartlepool and will essentially replace the 2006 Hartlepool Local Plan.
- 1.4 The Development Plan Documents for Hartlepool must include:
- A Core Strategy setting out the spatial vision, spatial objectives and core strategic policies for the area;
 - DPDs containing waste and minerals policies; and
 - A Proposals Map which will be updated as each DPD is adopted.
- 1.5 Currently the Borough Council is working on a number of documents within its LDF, these include:
- Tees Valley Minerals & Waste Core Strategy DPD
 - Planning Obligations SPD
 - Green Infrastructure SPD
 - Residential Design SPD
 - Seaton Carew Regeneration SPD
 - Central Area Regeneration SPD
- 1.6 The Borough Council has already adopted the following documents within its LDF:
- Statement of Community Involvement (SCI)
 - Local Development Scheme (LDS)
 - Annual Monitoring Report (AMR)
 - Transport Assessments & Travel Plans SPD

Chart 1: Local Development Documents



The Core Strategy

- 1.7 This Core Strategy Preferred Options Document sets out the Council's revised preferred options to achieve the overall vision for the Borough. This document was produced, following earlier consultation on the Issues and Options Discussion Paper in 2007 and consultation on the January 2010 Preferred Options document.
- 1.8 The November 2010 Preferred Options document has been developed in response to the above consultation exercises together with other key strategies and programmes, especially the Sustainable Community Strategy "Hartlepool's Ambition 2008". The Preferred Options policies also seek to reflect the national policy including recent changes and address the important local objectives of improving the town's economy and protecting and enhancing the environment, taking account of the opportunities and constraints of Hartlepool's coastal location.

What will Hartlepool's Core Strategy cover?

- 1.9 Hartlepool's Core Strategy will set out broadly but clearly what kind of place the area will be in the future, what kind of changes will be needed to make this happen, and how this will be brought about. It will set out the spatial vision for the Borough as it is anticipated to be by 2026. It will be developed from the vision of "Hartlepool's Ambition 2008" (the Sustainable Community Strategy). Hartlepool's Ambition 2008 is set out below:

"Hartlepool will be a thriving, respectful, inclusive, healthy, ambitious and outward-looking community, in an attractive and safe environment, where everyone is able to realise their potential."

- 1.10 To achieve this vision, the Core Strategy will establish spatial objectives and a spatial strategy together with strategic policies to deliver the vision and to guide the Borough's development to 2026.
- 1.11 The Core Strategy must to be consistent with national planning policy and any new emerging Government policy. It will also take account of other relevant plans, policies and strategies relating to Hartlepool and the adjoining area.
- 1.12 The policies in the Core Strategy will not normally identify specific sites, instead broad strategic locations for development will be identified. However, account may have to be taken of the potential development sites during its preparation to ensure that the principles of the spatial strategy can be met. It is important for the Core Strategy to retain an element of flexibility to adapt to changing circumstances.
- 1.13 The Preferred options set out in this document represent what the Council considers to be the most appropriate strategy for the Borough when compared to other reasonable alterations. Representations of the core strategy commenced with an Issues and Options report in October 2007. From this a Preferred Options report was produced in January 2010 which took account of feedback from the local community, statutory consultees and all other stakeholders. This current Preferred Options document (November 2010) reflects on consultation from the first Preferred Options stage and changes in Government policy.

Supporting Documents

- 1.14 This Preferred Options document is supported by three accompanying documents:

Habitats Regulations Assessment

- 1.15 An Assessment of the impact of the Core Strategy on sites designated as of European importance for their nature conservation value. This is required by the EC Habitats Directive Articles 6.3 and 6.4;

Sustainability Appraisal

- 1.16 This combines the statutory requirement for land use plans forming part of the Local Development Framework to be assessed in terms of their contribution to sustainable development, with the Strategic Environmental Assessment required by EU Directive EC/2001/42;

Consultation Statement regarding the Preferred Options Stage (January 2010)

- 1.17 This is a statement outlining the consultation processes undertaken previously to inform the preparation of this second Preferred Options document for the Core Strategy DPD. It also highlights the 462 representations that were received and how each issue raised has been addressed.

- 1.18 Copies of these documents are available at:

Bryan Hanson House
Hanson Square
Hartlepool
TS24 7BT

- 1.19 They are also available to view at the Civic Centre, Victoria Road, Hartlepool, TS24 8AY, at the Hartlepool Central Library on York Road or any of the branch libraries. Alternatively they can be viewed on the Council's website:
(http://www.hartlepool.gov.uk/site/scripts/documents_info.php?documentID=108)

How to Comment

- 1.20 You can make comments on this Core Strategy Preferred Options Report and its supporting documents in the following ways:

- Consultation website: <http://planningpolicy.hartlepool.gov.uk>. You will need to register when you visit the site if you have not previously used it. You will be kept informed by email of future consultations on later stages of the Core Strategy or other related planning documents that are produced;
- Fill in one of the response forms that are located in all the above locations and available to download from the Council's website;
- You can send your comments by letter to the Planning Policy Team at Bryan Hanson House, Hanson Square, Hartlepool, TS24 7BT; or
- Email your comments to Planningpolicy@hartlepool.gov.uk

- 1.21 All comments should be received by 4pm on Friday 11th February 2011.**

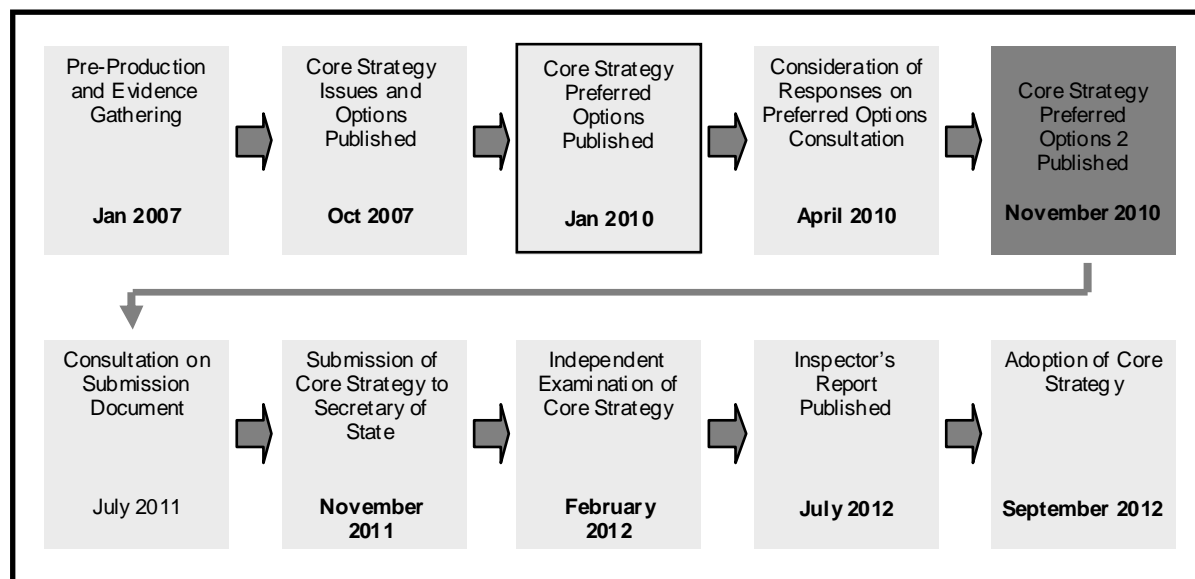
- 1.22 Information provided in response to this consultation, may be subject to publication or disclosure. All info will be handled strictly in accordance with the access o information regimes (these are primarily the Freedom of Information Act 2000 (FOIA), the Data Protection Act 1998 (DPA) and the Environmental Information Regulations 2004).

2. THE CORE STRATEGY PREFERRED OPTIONS (November 2010)

Where are we now

- 2.1 This report represents a revisit to the second published stage in the preparation of a Core Strategy for Hartlepool. Opportunities to comment are available throughout each stage of the Core Strategy production process. The Council is currently at the second Preferred Options stage, as detailed in diagram 2 below. Comments can be submitted on this Preferred Options document and the accompanying Habitats Regulations Assessment and Sustainability Appraisal.

Chart 2: Key Stages Leading to the Adoption of the Core Strategy



Why we doing another Preferred Options

- 2.2 Many things have changed since our previous Preferred Options in January 2010, some changes are so significant that parts of the plan have had to be rewritten. The next few pages explain what changes have occurred since January 2010 and how these changes have affected the spatial plan for the Borough.

National decisions – local implications

- 2.3 In May 2010 a new coalition government was formed. The new government propose to make changes to the current planning system. These changes will have a significant impact on Hartlepool. In order to reflect the new government guidance and take account of information received during the January 2010 Preferred Options consultation period the Council considered it necessary to consult for a second time on a Preferred Options document.
- 2.4 The Government propose that the main benefits of the revised planning system will be:
- Empowering local people.
 - Freeing local government from central and regional control.
 - Giving local communities a real share in local growth.
 - A more efficient and more local planning system.
- 2.5 The most significant changes for Hartlepool are as follows:
- a) Proposals to Abolish the Regional Spatial Strategies (RSS)
 - b) Amendments to Planning Policy Statement 3, Housing.

a) Proposal to abolish Regional Spatial Strategies (RSS)

- 2.6 The northeast RSS was adopted in July 2008 after a number of years of evidence gathering and preparation, the RSS replaced Regional Planning Guidance (RPG 1), which was adopted in September 2004. The northeast RSS forms part of the Hartlepool Development Plan, it set out how much land should be allocated for housing, retail, leisure, and employment purposes and where major new strategic sites would be i.e. wind farm sites or infrastructure.
- 2.7 The Coalition Government has indicated its intentions to abolish Regional Spatial Strategies and will introduce legislation through the Localism Bill to remove them from statute. The intention is to return decision-making powers on matters such as housing targets and planning to local councils. This has implications, in particular, in relation to the delivery of housing targets. Under the RSS, each local authority has an identified housing target which set out the number of houses to be built annually. Each local authority had to identify sites that would meet the future housing requirements set by the RSS.
- 2.8 For Hartlepool the annual target as set out in the RSS is 395 net additional dwellings per annum with a total number over the RSS period (2004- 2021) of 6730. These targets were initially based on evidence of need and informed by information provided at the local and Tees Valley level which reflected the Tees Valley's aspiration of achieving economic growth.
- 2.9 Whilst the Council will no longer be tied to achieving these targets, evidence in the Hartlepool Strategic Housing Market Assessment (SHMA) still indicate a current housing shortage in the Borough and a need to deliver a substantial number and range of new housing to meet current need as well as supporting economic growth aspirations.
- 2.10 The RSS targets for net additional dwellings across the region have consistently not been met and, in Hartlepool, at the time of the announcement to abolish the RSS, the Borough was approximately 900 dwellings behind the cumulative housing target.
- 2.11 The RSS targets have proven to be locally unrealistic and essentially difficult to achieve in the Borough bearing in mind the previous and current housing market conditions. In view of the proposed RSS abolition and the performance of the housing market, with particular reference to the downturn in the private housing market, the Council has re-assessed the housing targets and propose a reduced local housing provision for the Borough.
- 2.12 A local housing provision report (Future Housing Provision in the Borough for the Next 15 Years, 2010 (FHP) has been produced by the Council, based on the Government's overall ambition and the additional housing need arising from household formation. The report now forms part of the LDF evidence base. The document can be viewed on the council's internet (http://www.hartlepool.gov.uk/site/scripts/documents_info.php?documentID=108).
- 2.13 The reduction of overall housing numbers will not restrict the Borough's growth aspirations, it will reflect the actual local housing provision that is needed and that can be realistically delivered over the period of the Core Strategy.
- 2.14 The housing figures in this Preferred Option document are based on the revised and up to date housing projections that have arisen from the FHP report. The local housing provision report deduced that to achieve sustainable growth within Hartlepool 5,400 dwellings will have to be built over the 15 year period. Given the current economic climate this can be achieved through the addition of 285 net additional dwellings in the short term, 330 in the medium term and 345 in the long term.

- 2.15 The other main implication of the proposed abolition of the RSS relates to the allocation of employment land. The RSS safeguarded land for general employment, port related activity, chemical and steel uses and at key employment locations.
- 2.16 Within Hartlepool, the RSS identified Wynyard Business Park and North Burn as Key Employment sites (KEL's). The proposed abolition of the RSS provides the opportunity to locally reassess these allocations. The Core Strategy will continue to safeguard land for general employment, port related activity and chemical and steel uses, however, it will not allocate land as key employment locations. This is important bearing in mind that opportunities for large scale high tech investment are now extremely limited; that there is a large amount of currently allocated land in the Borough, and; that the Core Strategy is essentially about facilitating development over a period of 15 years.
- 2.17 Looking at the two sites, Wynyard Business Park is currently under development with a number of businesses operating in a high quality setting. It is proposed to retain the majority of this site as prestige employment land recognising the importance of the Business Park to the regional economy. It is proposed, however, to de-allocate a small area of the site to the west of Wynyard North to provide high quality executive housing in a woodland setting to help meet a sub-regional need for such housing. This de-allocation will still allow for sufficient land for prestige employment and will not hinder the economic growth aspirations of the Borough.
- 2.18 North Burn is allocated in the 2006 Hartlepool Local Plan as an Electronics Component Park reflecting previous opportunities within that sector. Although there have been limited demand for such development in recent times and although the KEL status will be removed with the abolition of the RSS the retention of the site as a Higher Quality Business Park would help cater for new emerging opportunities in the distribution and high value supply chain business associated with offshore wind power development.

b) Planning Policy Statement 3 (PPS), Housing

- 2.19 PPS 3, Housing, underpins the delivery of the Government's strategic housing policy objectives. In June 2010 changes were announced to PPS3. The most significant change that has informed this document is:
- The national indicative minimum density of 30 dwellings per hectare had been removed.
- 2.20 **National minimum density of 30 dwellings per hectare had been removed.**
- 2.21 Previously the Government's ambition was to build housing on sites at a density of 30 dwellings to the hectare or more. The aim of this was to ensure compact sustainable growth and reduce the need to build on Greenfield land. Over the years many consider this has led to 'cramming' on sites, with small properties and very little amenity space for residents, especially children. The 30 dwellings per hectare target has now been removed and local authorities can now set their own density levels on a site by site basis. This gives local authorities the option to build at high densities in certain areas for example in areas that are served by a number of sustainable transport options, or in other areas that allow for more room per plot, allowing for more space within dwellings, more room for private gardens and in-curtilage parking and providing more public open space.
- 2.22 Within policy CS8 in the housing chapter all proposed housing sites have been given a specific maximum dwelling per hectare target. All of the densities are below 30 dwelling per hectare; this is considered appropriate for Hartlepool as a means to provide quality housing, with sufficient amenity space that people want to live in.

Local decisions – local implications
Consultation feedback

- 2.23 The aim of this document is also to address some of the issues raised at the previous consultation stage.
- 2.24 The 8 week consultation period generated 462 responses, 395 of which were from individual Hartlepool residents, 5 from statutory consultees, 15 from consultancies/house builders and 45 from other stakeholder groups and organisations.
- 2.25 Five responses were received from Statutory Consultees – Government Office North East, the Highways Agency, Natural England, English Heritage and the Environment Agency. All were generally supportive of the Core Strategy as set out in the Preferred Options 2010 document and none raised any major objections, although each made specific comments on individual policies.
- 2.26 In relation to planning consultancies and house builders, all tended to support the locational strategy for strategic urban expansion. There were comments raised in relation to phasing of sites, site densities and overall housing figures including statements contesting their accuracy and suggesting increased numbers. Representations were also made by individual consultancies and house builders in support of individual sites. Representations were also made supporting the de-allocation of some employment land at Oakesway and Sovereign Park.
- 2.27 In terms of residents' feedback, the majority of representations related to the proposed housing allocations at Claxton/Brierton (south west extension), Tunstall Farm and Quarry Farm. The main objections relate to an overestimation of housing demand over the next 15 years, the loss of green field land when there is ample brown field land to use, traffic increase and congestion, flooding issues and damage to wild life and biodiversity.
- 2.28 There were some comments about lack of awareness and publicity surrounding the consultation and suggestions that the Council should have 'leaflet dropped' specific areas where proposals were so large and potentially contentious.
- 2.29 Some residents did not consider it appropriate to build on any Greenfield land. Further explanation has been included within chapter five to state why this is one of the only options for the Borough should it aspire to grow and meet the housing demands, and economic aspirations of future generations.
- 2.30 A detailed summary of all responses received and how issues have been addressed is set out in the November 2010 Consultation Statement which is available on the Council's website. (http://www.hartlepool.gov.uk/site/scripts/documents_info.php?documentID=108)

Affordable Housing DPD

- 2.31 The aim of the Affordable Housing DPD was to present the Council's policies for the delivery of affordable housing on new housing sites and mixed use developments within the Borough.
- 2.32 In March 2008 an Issues and Options paper was consulted on in relation to the Affordable Housing Development Plan Document. Information was collated and in October 2009 a further consultation period was undertaken in relation the Preferred Options for Affordable Housing.
- 2.33 The date of adoption for the Affordable Housing DPD would have coincided with adoption of the Core Strategy, in response to strong advice from the Government office and bearing in mind potential resource savings through avoiding the need for separate public inquiries it

was considered more prudent to incorporate the Affordable Housing DPD into the Core Strategy Preferred Options.

Detailed information in relation to affordable housing and associated targets can be viewed in chapter nine, along with the new housing market renewal policy and the affordable housing policy.

Summary of the main changes within the Document

2.34 For clarity the summary below sets out the significant changes from the previous document consulted on in Feb/March 2010.

2.35 Significant changes

- Reduction in overall housing figures – as outlined above (pages 6&7)
- Proposed executive housing at Wynyard
- Proposed executive housing at Quarry Farm and a major reduction in the overall size of this site
- Increased size of green wedge at Claxton/Brierton site
- New Green wedges proposed at Golden Flatts
- Housing densities set for each site
- Further reference given to national and local guidance
- Updates to all of the policies to reflect national changes and consultation feedback
- Specific site location of safeguarded site for nuclear power station added
- Reclassification of Wynyard Business Park as Prestige Employment Land
- Reclassification of North Burn electronics park to Higher Quality Employment Sites

2.36 New policies

- New housing policies for Housing Market Renewal
- Affordable housing policy added
- Retail policies added
- Changes to Local Centre boundaries
- Changes to Industrial land boundaries
- New industrial policies added
- New conservation, Listed Buildings and Local List policies added
- Late night uses policy added
- Transport policy sub-divided

3. THE BOROUGH OF HARTLEPOOL

- 3.1 Hartlepool is located on the north east coast to the north of the Teesside conurbation and south of the former Durham coalfields.
- 3.2 The Borough of Hartlepool covers an area of about 9400 hectares (over 36 square miles) and has a population of around 91,000. The Borough of Hartlepool comprises three distinct elements:
- The main urban area of Hartlepool including Seaton Carew and the industrial areas to the south – this is the Main Settlement of the borough .
 - An attractive rural hinterland within which lie the five villages, Hart, Elwick, Dalton Piercy, Greatham and New ton Bew ley and
 - The employment, residential, and recreational area at Wynyard.
- 3.3 Hartlepool has a long proud history. It was originally two towns, the ancient town of Old Hartlepool, known locally as the Headland, and the more recent development known as West Hartlepool. In 1967 they amalgamated to form the town now known as Hartlepool.
- 3.4 Surrounded on three sides by the sea, Old Hartlepool is the original fishing village which existed before West Hartlepool. West Hartlepool then became known as Hartlepool and Old Hartlepool, wishing to keep its separate identity, began to be known as the Headland. Hartlepool has its own natural harbour to the north of the river and in recent centuries its industrial history has been very closely tied up with the River Tees.
- 3.5 In prehistoric times Hartlepool's headland is thought to have been an isolated tidal island covered by thick forests. In the nineteenth century during excavation of the adjacent marshy area called the Slake, trunks of trees from the ancient forest were found embedded in the clay along with antlers and the teeth from deer that seem to have inhabited the area in large numbers many years ago.
- 3.6 Hartlepool has good rail links, the Durham Coast railway line links Hartlepool with New castle and Saltburn and runs through the centre of the town providing easy access for residents and visitors. The Grand Central service operates a direct link to London three times a day. The A19 trunk road passes north/south through the western rural part of the Borough is readily accessed via the A689 and the A179 roads which originate in the town centre. Durham Tees Valley airport to the south and New castle airport to the north provide air access to Europe and beyond.

Hartlepool facts and figures

- 3.7 Hartlepool key facts and figures have to be considered to give an overview of the borough and to help us assess which areas we need to address, where are we falling behind the rest of England and Wales and why and what needs to change to help address these issues.

Table 1: Hartlepool Key Facts

Key Facts about Hartlepool	Hartlepool	England & Wales
Resident Population mid 2008	91,700	54,481,000
Population age 0-15 mid 2008	17,000 (18.5%)	10,242,400 (18.8%)
Population age 16-44 mid 2008	36,100 (39.4%)	21,792,400 (40%)
Population age 45-retirement mid 2008	23,800 (25.9%)	11,985,820 (22%)
Population age retirement and over	14,800 (16.1%)	10,460,350 (19.2%)
Number of Households (2010)	40,455	23,267,000
Area (hectares)	9,386	15,101,270
Population Density (persons per hectare)	9.8	3.6
Household tenure – owner occupied (2001)	63.0%	68.9%
Household tenure – Council rented (2001)	19.8%	13.2%
Household tenure – Private rented (2001)	7.4%	8.7%
Population working age (2008)	55,500	36,641,700
% economically active (2008)	75.8	78.8
% in employment (2008)	63.8	74.5
Median weekly earnings all full time adults (2008)	£461.7	£479.3
% of working age receiving key benefits (2008)	23.5	14.2
% of households with no car (2008)	39.3	26.8
Crimes per 1000 population 07/08 – total offences (2008/09)	98.1	92.0
Obesity rates over 16 years	26%	23%
Life expectancy		
Male	73.4	76.2
female	78.4	80.7
Causes of death (2006-2008) per 100,000 deaths:-		
Cancer	241.7	174.6
Circulatory diseases	212.5	184.8
Respiratory diseases	36.7	26.8

4. A SPATIAL VISION FOR HARTLEPOOL

What are the challenges facing Hartlepool?

- 4.1 The January 2010 Hartlepool Preferred Options Core Strategy contained a SWOT (Strengths, Weaknesses, Opportunities and Threats) analysis that was in line with the Annual Monitoring Report for 2008/09. During the consultation period one additional comment was received stating that reference should be given to the historic environment, the vision has been updated accordingly. The SWAT analysis has been reviewed to ensure it is up to date and is a true reflection of the borough. The SWAT analysis provided an appropriate context within which to develop our spatial vision for Hartlepool.

Table 2: Hartlepool SWOT Analysis

Strengths	Weaknesses	Opportunities	Threats
<ul style="list-style-type: none"> • Compactness of main urban area • Expanding population • Sense of community / belonging • Partnership working • Good track record in delivering physical regeneration • Diverse, high quality and accessible natural environment • Maritime, industrial and religious heritage • Availability of high quality housing • Successful housing renewal • High levels of accessibility by road • Lack of congestion • Good local road communications • Direct rail link to London • Good local rail services • Active and diverse voluntary and community sector • Positive community engagement • Successful event management • Small business and SME development • Growth of visitor market • High quality tourist attractions • High quality expanding educational facilities 	<ul style="list-style-type: none"> • Perceived image • Location off main north-south road corridor • High deprivation across large areas of the town • Low employment rates and high level of worklessness • Legacy of declining heavy industrial base • Small service sector • Imbalance in the housing stock • Shortage of affordable housing • Poor health • Low level of skills • High crime rates • Exposed climate • Range and offer of retail facilities 	<ul style="list-style-type: none"> • Young population, possible asset for future prosperity • Can improve the economy and the growing house choice thus improving the recent stabilisation of population levels • Availability of land to enable diversification of employment opportunities • Potential for development of major research, manufacturing and distribution facilities on A19 corridor • Potential for further tourism investment • Potential for integrated transport links • Major high quality employment opportunities at Victoria Harbour, Queens Meadow and Wynyard Park • Success of Tall ship races and opportunity to bid for the event in the future • Plans for development of Tees Valley Metro • Established housing market renewal programme • New state of the art hospital site in Wynyard • Potential New Nuclear Power Station • Renewable Energy and Eco Industries • Developing indigenous business start-up and growth 	<ul style="list-style-type: none"> • Closure of major employer • Expansion of area affected by housing market failure • Climate change and rising sea levels • Lack of financial resources / budget deficits • Increasing car ownership and congestion • Loss of Tees Crossing Project • Access to New hospital • Competition from neighbouring out of town retail parks • Competition from outlying housing markets • Government spending cuts could effect regeneration and employment levels

What is the Core Strategy aiming to achieve?

- 4.2 The Core Strategy will set out the vision for Hartlepool – what kind of place Hartlepool will be in the future. Its vision will be a spatial representation of the vision of the Sustainable Community Strategy for Hartlepool (Hartlepool's Ambition 2008) which states:

"Hartlepool will be a thriving, respectful, inclusive, healthy, ambitious and outward-looking community, in an attractive and safe environment, where everyone is able to realise their potential."

- 4.3 It is therefore vital that the spatial vision for the Core Strategy seeks to achieve:

- the creation of a healthy local economy ("thriving" and "ambitious" community),
- the creation of mixed communities with all services to hand ("respectful" and "inclusive" community),
- provision of opportunities for recreational activities ("healthy" community),
- improvement of transport links ("outward-looking" community)
- improvements to the quality and design of housing and other areas ("attractive environment"),
- reduction of the opportunities for crime and improvements in road safety ("safe environment")

- 4.4 The Spatial vision has remained unaltered since January 2010 as no objections were received, and it is considered to be a true reflection on what the aspirations of the borough are. Having considered the Sustainable Community Strategy and the aspiration vision for the borough up to 2026 the Spatial Vision is:

"Hartlepool by 2026 will have achieved the substantial implementation of its key regeneration areas, raised the quality and standard of living, increased job opportunities, maximised housing choices and health opportunities for its residents. The built, historic, and natural environment will make Hartlepool a safe and attractive place to live and an efficient and sustainable transport network will integrate its communities within the Tees Valley City Region and beyond. The town will have become a focal destination for visitors and investment."

5. CORE STRATEGY THEMES AND OBJECTIVES

How will the Core Strategy develop from Hartlepool's Ambition?

- 5.1 The eight themes of 'Hartlepool's Ambition' 2008 (the Sustainable Community Strategy for Hartlepool) provide the basis of the suggested spatial objectives for the Core Strategy as shown in Table 3 below.

Table 3: Core Strategy Objectives and Hartlepool's Ambition

'Hartlepool's Ambition' (Community Strategy) Themes	Suggested Spatial Objectives for the Core Strategy	Preferred Options Policies
Jobs and the Economy Lifelong Learning and skills.	1. To diversify the economic base of Hartlepool and promote an entrepreneurial culture to create more employment opportunities for local people. 2. To develop Hartlepool as a destination of choice for inward investment 3. To enhance the tourism offer. 4. To support the development of educational and training facilities that will develop a skilled workforce. 5. To facilitate development in the key investment areas in the Borough	CS1 CS5 CS6 CS7 CS8 CS9 CS10 CS11 CS13 CS14 CS15 CS16 CS17 CS18 CS19 CS20 CS21 CS22 CS23 CS25 CS26 CS27 CS29
Strengthening Communities Community Safety Housing Health and Care	6. To make Hartlepool a safer place by reducing crime and the fear of crime of crime and anti-social behaviour. 7. To improve the choice, quality and affordability of housing. 8. To strengthen social cohesion and reduce inequalities by protecting and encouraging access to local facilities. 9. To encourage healthier and more sustainable lifestyles.	CS1 CS2 CS4 CS5 CS6 CS7 CS8 CS9 CS10 CS18 CS19 CS20 CS23 CS24
Environment (excluding Transport) Culture and Leisure	10. To protect, promote and enhance the quality and distinctiveness of the Boroughs natural, rural and built environment. 11. To protect and enhance the Boroughs unique cultural heritage and coastline. 12. To reduce the causes and minimise the impacts of climate change. 13. To maximise the re-use of previously developed land and buildings. 14. To ensure the efficient use of natural resources. To provide a safe, attractive and well-designed environment.	CS1 CS2 CS5 CS17 CS18 CS19 CS20 CS21 CS22 CS25 CS26 CS27 CS28 CS29
Environment (Transport)	15. To ensure the provision of a safe, efficient and sustainable transport network, accessible to all. 16. To strengthen transport links with the Tees Valley sub-region, region and beyond.	CS1 CS2 CS3 CS4 CS5

- 5.2 After considering the themes within the sustainable community strategy and the ambitions for the borough it is considered that the seven core strategy themes as identified within Table 4 below are still applicable to the Core Strategy.

Table 4: Hartlepool Core Strategy Preferred Options Themes

Core Strategy Preferred Options Themes
Locational Strategy
Minimising & Adapting to Climate Change
Transport
New Development
Housing
Strengthening the Local Economy
The Environment

Evidence Gathering

- 5.3 Since the Issues and Options stage in 2007/8 a number of additional studies and other pieces of work have been undertaken which have contributed towards the creation of a robust evidence base to inform the development of policies within the Core Strategy. These pieces of work have helped to give a clear picture of the major issues in Hartlepool which need to be addressed and assisted in updating the Themes and Objectives and ultimately the Policies which should be included within this Preferred Options Document.

Key issues from evidence base

- 5.4 Some of the key issues that arose from the evidence base and were highlighted within the January 2010 Preferred Options are still relevant today;
- The Strategic Housing Land Availability Assessment (SHLAA) has identified and assessed a wide variety of sites across the Borough looking particularly at suitability, availability and achievability. These issues have been used to identify potential sites and the timing when they would be available for development.
 - The Hartlepool Strategic Housing Market Assessment (2007) (SHMA) assessed the current and future housing need and demand in the Borough. The main observations on need and demand were that market demand exceeds supply in most areas, in particular family homes and bungalows and that there is strong demand for rented accommodation and an acute demand for socially rented accommodation. The assessment went further to establish affordable housing need and stipulate an affordable housing target required to meet the established need.
 - The Tees Valley Strategic Housing Market Assessment (2009) (TVSHMA) supported the housing need already identified in the Hartlepool SHMA and made further observations that there needs to be a diversity of new housing available for existing households, newly forming households and migrants, there is a weak terraced housing market bias in Hartlepool and that there is an executive housing need that could be met at locations to the west of Hartlepool.
 - The Employment Land Review (2008) (ELR) has assessed the various employment designations within the Hartlepool Local Plan and has suggested some de-allocations. This work along with developments in certain areas of the business and industrial market have been considered within the Core Strategy.
 - Work on the PPG17 Open Space Assessment and the Tees Valley Green Infrastructure Strategy have helped to inform on green spaces, recreational areas and other natural open spaces within the Borough. This has helped to illustrate where there are shortfalls and deficiencies in the provision.
 - The Retail Study (2009) raised a number of major concerns with regards to the Town Centre. There is a higher than average number of vacant units in the centre particularly within Middleton Grange. It also highlighted that there is a £40 million deficit in convenience goods expenditure and there is insufficient expenditure to justify further floorspace in the future. Taking a long term view with regard to comparison goods

expenditure there is insufficient capacity for further comparison goods retail floorspace. As a result the study states that extreme caution should be exercised in permitting new floorspace outside the Town Centre.

Additional evidence gathering

- 5.6 Renewable energy technical paper (November 2010)
The renewable energy paper looks at the evidence base for the regional spatial strategy to assist in justifying setting a percentage for decentralised renewable energy on major developments.
- 5.7 Future Housing Provision in the Borough for the Next 15 Years (September 2010)
The revocation of the Regional Spatial Strategy means that the Borough Council can now set its own locally derived future housing provision, based on local evidence rather than being “dictated” to by a regional planning body. Taking the previous Preferred Options consultation into consideration and the desire in the Borough to reduce the future housing provision numbers, the Borough Council has re-assessed the future housing in the Borough. The proposed housing provision over the next 15 years takes into consideration the overall ambition of the Government and the additional housing need arising from newly forming households over the next 15 years. The ambition and housing need is tempered by the current capacity of housebuilders in the Borough and the current weak national and local housing market in its phasing and overall housing numbers.
- 5.8 Executive Housing Need in the Borough (November 2010)
The report draws together the various sources of evidence to establish the current need for executive housing in the Borough and an estimate of the future provision needed over the next 15 years. The report concluded that there is a need for the Borough Council to allocate specific executive housing sites in appropriate locations in the Borough, to the west of the urban area through the Local Development Framework process.
- 5.9 Housing Implementation Strategy (November 2010)
Housing Implementation Strategy (HIS) sets out the Borough Council’s proposed approach to managing the delivery of new housing over the next 15 years.
- 5.10 Hartlepool Local Infrastructure Plan (November 2010)
Assesses the infrastructure needs of the Borough over the Core Strategy period and illustrates the deliverability of options contained within the Plan.
- 5.11 **Other key factors to consider**
Other key issues have arisen during the production of the Core Strategy Preferred options are detailed below:
- Hartlepool has been identified as one of 8 potential sites within England and Wales which would be suitable for a new nuclear power station within the National Policy Statement on Nuclear Energy (2009). The consultation by the Department of Energy and Climate Change is currently ongoing regarding which sites are most suitable to be developed and therefore the Core Strategy needs to ensure that this possibility is catered for.
 - The impact on the economic downturn and the impacts it has had, especially within the town centre area and the delivery of new housing, need to be reflected and strong policies included to aid the future recovery and regeneration of the central shopping and commercial area.
 - A hospital that will serve Hartlepool, Stockton and parts of County Durham was given outline planning permission (subject to the completion of a Section 106 Legal Agreement) at Wynyard Park. Government funding has since been put on hold and the future development of the hospital is, at this point in time uncertain, with interested parties currently looking at other delivery options.

- The Building School for the Future (BSF) Programme, was a central government initiative that would have benefited the secondary schools in the town through major investment into the renewal or refurbishment of facilities. The new government decided that the full building school for the future programme would not go ahead, however the borough will still benefit from a package of IT improvements within the secondary schools and the Dyke House refurbishment. The Future of the Brierton school site is currently undecided.

5.12 The previous and additional evidence gathering, key factors and consultation feedback has been viewed alongside the objectives of the Sustainable Community Strategy to guide the development of a set of Preferred Options Policies which will help to guide development within Hartlepool in the period until 2026.

Table 5: List of Core Strategy Chapters and Preferred Options Policies

Chapter & Theme	Preferred Option Policy
Locational Strategy	Locational Strategy
Minimising & Adapting to Climate Change	Climate Change
Transport	Improving connectivity
New Development	Planning Obligations Community Facilities and Services
Housing	Housing Market Renewal New Housing Provision Overall Housing Mix Affordable housing
Strengthening the Local Economy	Prestige Employment sites Higher Quality Employment sites General employment land Eco industries area Specialist Industries Underground Storage Commercial Centre Hierarchy The Town Centre The Edge of Centres The Local Centres Night time economy Leisure & Tourism Rural Economy
Environment	Built Environment Conservation areas Listed buildings Locally important buildings Green infrastructure Natural Environment

6. THE LOCATIONAL STRATEGY

Introduction

- 6.1 One of the key characteristics of Hartlepool is that it is a vibrant community with development contained within a compact urban area, small villages and attractive rural and coastal areas. The Core Strategy seeks to maintain and enhance the attractiveness of Hartlepool and its setting as a quality place in which to live.
- 6.2 For many years the strategy for the Borough has been based on compact urban growth. This has been secured by the strict control of development to locations within defined limits to development in the form of an urban fence around the main urban area, village envelopes around the villages and specific limits around the Wynyard area.
- 6.3 Keeping future development within these limits could protect the attractive open countryside around Hartlepool but might constrain the opportunities for providing a wide choice of housing, including affordable and high cost low density housing, leading to more high density development. If insufficient previously developed 'brownfield' sites cannot be identified this may result in development on areas of amenity greenspace and could lead to town "cramming".

Consultation feed back on Preferred Options (January 2010)

- 6.4 There was general support with no explicit objections from the statutory consultees to the locational strategy which was based around compact urban growth, prioritizing of regeneration areas and controlled westward expansion.
- 6.5 Many of the 395 responses received from residents were concerned with the total amount of new housing proposed and the high proportion of this on Greenfield land. A major concern was how much of Hartlepool's countryside could be lost to development. A high number of these objections related to the South West extension and Tunstall Farm.
- 6.6 In relation to Planning Consultancies and house builders, all tended to support the locational strategy for compact urban expansion. There were comments raised in relation to phasing of sites, site densities and overall housing build rate predictions including statements contesting their accuracy and suggesting increased numbers.
- 6.7 Responses received from other stakeholders included comments which were generally focused on specific issues within their remit or locality. Some of the main issues relating to the locational strategy include:-
- Concerns raised by several parties around waste management sites close to the town centre.
 - The Woodland Trust expressing the need to emphasise the importance of ensuring that residents have access to woodland as well as natural green space
 - Tees mouth Bird Club advising against the development of Claxton and Brierton.
 - Hartlepool Civic Society objecting to the development of the rural hinterland when empty sites remain within the urban fence; suggesting that the Claxton site is too large and would overwhelm Greatham; and; suggesting that there is more industrial land than required.
- 6.8 The majority of representations from residents related to the proposed housing site allocations at Claxton/Brierton south west Extension, Tunstall Farm and Quarry Farm. The main objections relate to an overestimation of housing demand over the next 15 years, the loss of green field land when brownfield sites remain undeveloped and site specific concerns relating to flooding and congestion on the road networks.

Sustainability Appraisal on Preferred Options (January 2010)

6.9 The following points were raised during the Sustainability Appraisal process:

- Provision of a range of sites and locations will create greatest opportunities for investment and employment development.
- Although some of this is on green field land at Wynyard and North Burn, the retention of these key sites for employment development is important for future prosperity particularly given their sub-regional significance.
- The controlled development option provides a reasonable balance between protecting the natural environment, supporting growth objectives and developing sustainably, with some potential positive opportunities for enhancement.
- The preferred spatial strategy in relation to housing, strikes a balance between supporting the priority of brownfield land redevelopment and achieving the housing growth targets.
- Although utilising some greenfield land the selection of locations adjacent to existing housing areas provides the most sustainable option in terms of travel and links to existing networks including public transport and community infrastructure.
- Compact urban growth will help ensure that economic expenditure is retained within the town thus supporting the sustainability of the town centre.
- This option is significantly beneficial in terms of protecting and enhancing the natural and built environment, community recreation facilities and enhancing the sense of place.
- There is a possible negative impact if green wedges restrict business expansion and development, although improvement of business settings could help to attract investment.
- In terms of the town centre it is considered that overall this option would have a positive effect. Economically it would lead to the development of a strong and sustainable town centre which would offer a wide range of amenities to its users.
- The environmental benefits of this option are also considered to be positive given that it is locating a use that people travel to in an area well served by public transport.
- The option would also mean that new out of centre/town retail developments do not occur therefore helping to minimise emissions from car journeys to unsustainable locations. In terms of social benefits, a vibrant town centre would help increase employment opportunities, and provide greater access to a wider range of amenities for those who don't have access to cars.

Developing the Preferred Locational Strategy

6.10 The strategy of compact urban growth based on the use and regeneration of urban sites has significant sustainability benefits in that:

- The use of brownfield land is maximised
- Concentrated growth within the main settlement has the potential for encouraging good public transport and pedestrian and cycleway links
- Community facilities such as schools, shops, libraries and community centres may be more efficiently located within the main settlement areas.

The Preferred Strategy Reassessed

- 6.11 In late 2009 it became apparent that the mixed use regeneration site at Victoria Harbour was not going to deliver (in the short to medium term) any significant housing numbers. The port owners have indicated their intentions to focus on port-related development including offshore wind and sustainable energy solutions. This is fully supported by the Council. The strategy for delivering housing based predominantly on the re-use of brownfield land and more particularly on Victoria Harbour in terms of delivery of housing growth.
- 6.12 Assessment of other alternative large brownfield regeneration sites indicated that there are few viable alternatives to Victoria Harbour brownfield site.
- 6.13 A number of smaller potential sites including the former Magnesia Works at Old Cemetery Road could contribute to some extent but not in sufficient numbers on which to base a viable and robust compact urban growth strategy. Clearly the preferred option based on compact urban growth through the development of mixed use regeneration areas on brownfield land is no longer tenable.

An Alternative Strategy

- 6.14 With the revocation of RSS the Council has conducted its own research into future Housing need in its *Future Housing Provision over the next 15 Years Paper* (2010). This tasks the Borough Council to deliver 5,400 units between 2011 and 2026 compared to 6,730 identified in the previous preferred options report. Of these, only approximately 2,400 have current planning permission or are readily available for development under the 2006 Local Plan policies.
- 6.15 The range of options set out in the Preferred Options Report 2010 were assessed once more in view of the need to identify land for housing development up to 2026.
- 6.16 The options re-evaluated included:
- Prioritise the development of Brownfield sites where viable;
 - retain the south-western expansion of the town beyond existing limits with reduced numbers as the strategic location for new housing;
 - Sites at Tunstall Farm and Quarry Farm for executive homes and Upper Warren for a mix of housing types;
 - retain the expansion of the villages; and
 - the further development of Wynyard with small distinct sites for executive homes both north and south of the A689.
- 6.17 The western extension of housing development beyond the existing limits can be developed in a sustainable form, particularly where there are existing local services nearby, but due regard would need to be taken to maintaining the strategic gaps between the town and the villages, particularly in the vicinity of Hart and Greatham villages.
- 6.18 Further development in the villages may help to sustain or improve local services, but may lead to an increase in commuting.
- 6.19 In the other hand allowing large scale housing development at Wynyard could constitute a threat to the housing market and local economy of town as it is unlikely that residents of Wynyard will travel to Hartlepool in significant numbers for goods and services. The large scale development of housing at Wynyard Park is seen as an unsustainable option given its isolated location. Other locations closer to the built up area considered to be as more sustainable and will have more benefits to the economy of the town. However since its inception Wynyard has provided a sub regional offer for executive homes which has attracted wealth creators into the Tees Valley.
Research from the University of Newcastle shows that many of these incomers to Wynyard are “footloose” business owners or creative professionals who could choose to live anywhere in the UK. The research highlights that they specifically chose Wynyard as a

place to live and wouldn't have moved to other areas in the Tees Valley. For these reasons small distinctive developments of high quality, low density, on large plots and built to high sustainable standards at Wynyard will provide a unique housing offer that can help attract wealth creators into the Borough.

Preferred Locational Strategy

- 6.20 The strategy now preferred is to prioritise, economically viable, brownfield land and other suitable and available sites inside the existing urban areas whilst allowing a controlled westward expansion of the town into greenfield land adjacent to the existing boundary of the built up area. In addition a very limited number of sites in the villages of Hart and Elwick are suggested together with a small element of executive housing at the western end of Wynyard Woods and three small distinct sites at Wynyard Park. This would:
- provide a range and choice of locations,
 - consolidate and integrate the existing and extended built up areas,
 - support the planning and implementation of community facilities according to clear defined locations and principles,
 - maintain the strategic gaps between the town and surrounding villages.

Urban Fence and the Limit to Development

- 6.21 In order to control development and to protect the countryside, it is necessary to define precisely limits to development around the main urban area of Hartlepool, Wynyard and the Villages. These limits to development are defined as an "Urban Fence" on the key diagram.

Constraints and Infrastructure

- 6.21 The Preferred Strategy takes account of known and anticipated constraints. This includes the avoidance of development on land close to:
- Flood Zones 2& 3
 - High Voltage Overhead Cables
 - Gas, Oil, Water, Ethylene Pipelines
 - Internationally and National designated Nature Conservation sites
 - National and locally protected Heritage sites
 - High quality landscape features including Ancient Woodlands
 - The best and most versatile agricultural land.
 - Noisy or polluting sites
- 6.22 In terms of infrastructure, land should be capable of being adequately served with:
- An efficient and safe local highway network
 - An adequate water supply system
 - Adequate surface and foul mains drainage
 - Easily accessible Utility Services

6.23 Employment Land

The Preferred Option proposes to provide a range of employment sites at the right locations across the Borough. This will include keeping parts of Wynyard as a Prestige Employment site for business development, maintaining higher quality sites and sites for general industry and specialist industry sites such as chemicals. The Preferred Option also reflects the Tees Valley Minerals and Waste Core Strategy by locating all new eco-industries within an area to the south of the Borough around Graythorp.

The Town Centre and Retail and Commercial Hierarchy

- 6.24 The Preferred Option proposes to continue to protect the town centre in order to ensure its vitality and viability and support priorities for that area. The Core Strategy will ensure that the hierarchy of retail and commercial centres are maintained and that their role, function, vitality and viability are maintained and enhanced in the future.

Leisure and Tourism

- 6.25 The Preferred Option for Leisure and Tourism is to strongly encourage the growth of the now fast growing local tourism and leisure industry. Development will be focused in the key tourist areas, in the town centre, Seaton Carew, The Marina and the Headland.

Promoting Green Infrastructure

- 6.26 The Preferred Option is to protect and enhance existing green wedges and to create new ones as part of development at the South Western extension and Wynyard. A new Green Wedge will be established on land formerly allocated for employment at Golden Flatts.

Preferred Option CS1: Locational Strategy

The development of Hartlepool will be based on a strategy of a compact urban form with most expansion being concentrated in areas adjoining the existing built up area. Strategic gaps between the town and surrounding villages will be maintained. The introduction of Green Infrastructure as part of these proposals is essential to ensure quality development that offer opportunities for recreational and leisure and mitigates against the effect on the landscape character.

The spread of the urban area outside of the limits to development as defined by the Urban Fence on the key diagram will be strictly controlled.

New Housing development will be located within (as shown on key diagram):

- The urban area on suitable and deliverable brownfield sites;
- A south west extension of the town not exceeding 2400 new dwellings;
- A north west extension of the town not exceeding 260 new dwellings;
- Sites at Wynyard not exceeding 300 new executive dwellings;
- Extensions of the villages of Elwick and Hart not exceeding 40 dwellings.

Employment development will be located at (as shown on the key diagram 1 and 2):

- A Prestige Employment Location at Wynyard Business Park (including the Wynyard Hospital Site);
- Higher Quality Employment sites at Queen's Meadow and North Burn;
- General Employment sites at the Southern Business Zone and Oaksway;
- An Eco Industry cluster at the wider Graythorp area;
- Specialist industrial sites at Hartlepool Docks and North of Seaton Channel and Graythorp Yard
- Safeguarded land near the existing power station for a potential new Nuclear Power Station

The vitality and viability of centres in the Borough will be protected and enhanced. Depending on scale, new retail and commercial development will be directed towards the most appropriate centre in the hierarchy. The defined hierarchy and sequential preference of the centres in the Borough are detailed below:

- The Town Centre.
- The Marina
- Edge of Centre sites.
- Local Centres

The role of Hartlepool Marina as a regional, national and international visitor location will be supported and developed.

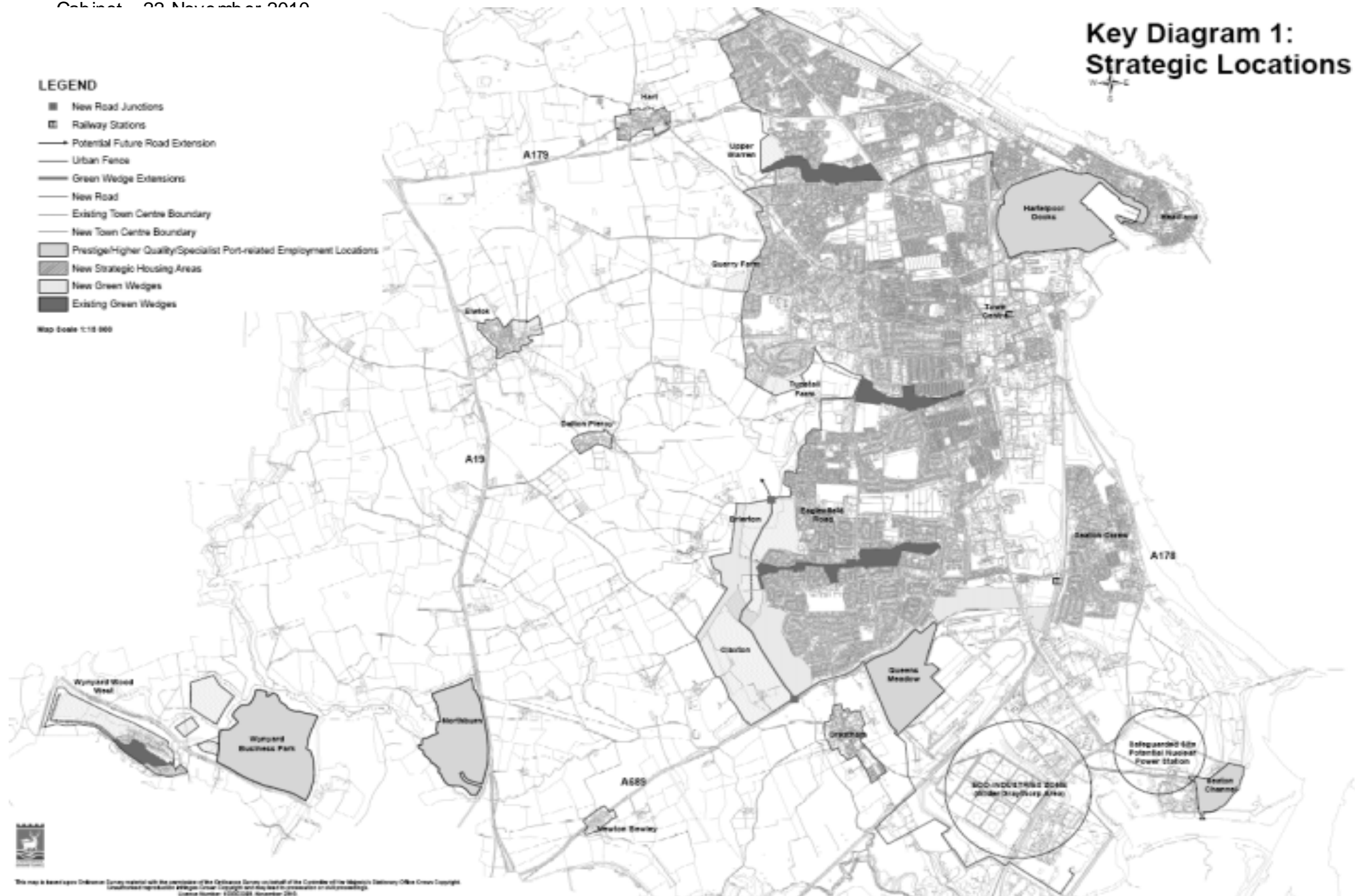
Major leisure and tourism developments which are likely to attract large numbers of visitors should be located within the following key tourist areas:

- **Town Centre;**
- **The Marina;**
- **Seaton Carew; or**
- **The Headland**

As a Borough with a rich maritime and Christian history with a fast growing tourism economy relating to this, protection and enhancement of heritage assets is a priority.

New development will be located so as not to have an adverse impact on the integrity of Internationally designated nature conservation sites. Where impacts have an adverse effect mitigation measures will be required.

A network of new and existing Green Wedges will be protected from development (as shown on the key diagram).



7. MINIMISING AND ADAPTING TO CLIMATE CHANGE

- 7.1 Climate Change is a serious global threat and it has the potential to have a negative impact on the lives of people in Hartlepool. Problems that may occur in Hartlepool associated with climate change could be coastal flooding and erosion linked to sea level rise, increased likelihood of storms and other severe weather events that may affect buildings, transport infrastructure and business activities, changes in agriculture and wildlife and plant habitats that will result in changes to our flora and fauna and excess summer heat which could cause health problems for residents and wetter winters that could lead to an increase in flood events.
- 7.2 To ensure the residents of Hartlepool have a healthy environment to live, work and play in now and in many years to come it is considered vital to act early on climate change issues to outweigh the social, environmental and economic costs of not acting.
- 7.3 The Council has already carried out work to improve the energy efficiency of its building and services, and in 1997 the first domestic recycling trial was carried out in the borough. Further schemes were rolled out across the borough over the past 10 years, the domestic recycling scheme in Hartlepool was complete in 2007 and covers paper, cans and glass plastic bottles, cardboard and garden waste.
- 7.4 Recycling is very important as waste has a huge negative impact on the natural environment. Harmful chemicals and greenhouse gases are released from rubbish in landfill sites, habitat destruction and global warming are some of the effects caused by deforestation, recycling reduces the need for raw materials so that the rainforests can be preserved. Huge amounts of energy are used when making products from raw materials yet recycling requires much less energy and therefore helps to preserve natural resources.
- 7.5 Over the years the amount of waste we produce has been increasing for a number of reasons:
- Increasing wealth means that people are buying more products and ultimately creating more waste.
 - Increasing population means that there are more people on the planet to create waste.
 - New packaging and technological products are being developed, much of these products contain materials that are not biodegradable.
 - New lifestyle changes, such as eating fast food, means that we create additional waste that isn't biodegradable.
- 7.6 Renewable energy, which covers energy flows that occur naturally and repeatedly in the environment can include energy from wind, the fall of water, the movement of the oceans, heat from the sun and also biomass and they can help provide clean energy for the UK and reduce CO₂ emissions that are associated with electricity from coal gas and oil. Hartlepool is already helping the country meet its UK targets with the existing three wind turbines that are located within the borough at High Volts and the five permitted but as yet unimplemented turbines at Red Gap.
- 7.7 As a maritime authority, Hartlepool Borough Council have to consider any impacts that coastal squeeze may have on the borough. Beaches are trapped in a 'coastal squeeze' between the impacts of urbanisation in Hartlepool and manifestations of climate change at sea, it takes place where there is a rise in sea level relative to the land. This is exacerbated by global warming, which not only leads to higher sea levels, but also an increase of the storm frequency. Increased storminess results in coastal erosion including cliff erosion, retreat of beaches, loss of salt marsh and dune scarping with vegetation loss. All of which can have a detrimental impact on coastal organisms and their habitat. In some areas such as the headland, the local authority has built structures to protect the land and/or infrastructure from erosion and sea defences to prevent erosion and/or flooding. These and other techniques are considered to 'fix' the coastline and have

been put in place help protect the borough. Such structures prevent Habitats and ecosystems that would normally move landward in response to erosive forces from retreating and forming new habitats.

How ever in some areas, to help prevent coastal squeeze the coast has been allowed to naturally erode allowing habitats to re form as the coast recesses, these areas are the northern boundary from the CJC Britmag works heading west to Crimdon covering North Sands and Hart Warren.

- 7.8 The difficult faced by Hartlepool council is to come to the right balance in relation to protecting the built up area of Hartlepool from erosion and protecting the boroughs habitats from coastal squeeze.
- 7.9 Increased urbanisation along with more frequent rainfall events can lead to an increase in surface water run off, which in turn can flood homes businesses and create access issues. Providing green open spaces and vegetation thus reducing non permeable surfaces, can help absorb some rain water, however to fully address the issue the Council will produce the Surface Water Management Plan.
- 7.10 Energy White Paper - Meeting the energy challenge (2007)
The energy White Paper emphasised the fundamental importance of planning in delivering sustainable development, in making a contribution to a prosperous economy and to a high quality of life. The Paper sets out national targets to reduce greenhouse gasses by 12.5% below 1990 levels over the period 2008-2012.
The Government also set targets that specifically relate to renew able energy generation, as set out below :
- At least 40% of electricity to be generated from renew able sources by 2060
 - 10% renew able electricity by 2010
 - 20% renew able electricity by 2020
- The planning system must support the delivery of the timetable for reducing carbon emissions from domestic and non-domestic buildings.
- 7.11 Climate Change Act (2008)
The Climate Change Act enhances the UK's ability to adapt to the impact of climate change. The Act sets out that, UK targets to reduce carbon dioxide emissions through domestic and international action are as follows:
- at least a 34% by reduction by 2020 and
 - at least a 80% reduction by 2050, against a 1990 baseline
- 7.12 The UK Low Carbon Transition Plan (2009)
The Plan outlines the policies and proposals that will be put in place to decarbonise the UK economy to achieve an 18% reduction on 2008 levels (34% on 1990 levels) in carbon emissions by 2020 and a 7-fold increase in energy from renew able sources over the same period.
- 7.13 The UK Renew able Energy Strategy (2009)
Sets out how the UK will meet its EU target of ensuring 15% of energy comes from renew able sources by 2020, which will require a seven-fold increase on current levels.
The lead scenario assumes, to meet this target, more than 30% of electricity will be generated from renew able sources.
- 7.14 Energy Bill (2010)
The Energy Bill will take forward important elements of The UK Low Carbon Transition Plan related to decarbonising the power sector by facilitating the demonstration of commercial scale Carbon Capture and Storage (CCS) and improving the fairness of the energy markets through the implementation of mandated social price support and other amendments to strengthen the powers of the Government and Ofgem (the regulator) in order to better protect the consumer.

7.15 Planning Policy Statement 1 - Delivering Sustainable Development (2005)

Sustainable development is the core principle underpinning planning a widely used definition was drawn up by the World Commission on Environment and Development in 1987: “development that meets the needs of the present without compromising the ability of future generations to meet their own needs.”

local planning authorities should ensure that development plans contribute to global sustainability by addressing the causes and potential impacts of climate change – through policies which reduce energy use, reduce emissions (for example, by encouraging patterns of development which reduce the need to travel by private car, or reduce the impact of moving freight), promote the development of renewable energy resources, and take climate change impacts into account in the location and design of development.

7.16 Planning Policy Statement 1 supplement - Planning and climate change (2007)

PPS1 on Climate Change, sets out the importance of tackling Climate Change and states that through planning policies, local authorities have the power to help meet the overall governments aim to reduce carbon emissions.

New development should be distributed, located, designed and to limit carbon dioxide emissions, it should make good use of opportunities for decentralised and renewable or low carbon energy and minimise future vulnerability in a changing climate;

Local Planning authorities should provide a framework that promotes and encourages renewable and low carbon energy generation and ensure that any approach to protecting landscape and townscape is consistent with PPS22 and does not preclude the supply of any type of renewable energy other than in the most exceptional circumstances.

Planning authorities should have an evidence-based understanding of the local feasibility and potential for renewable and low-carbon technologies, including microgeneration, to supply new development in their area. Well-founded development area and site-specific targets drawn up in line with this PPS may enable the local authority to request that developers provide a proportion of the energy supply of new development to be secured from decentralised and renewable or low-carbon energy sources.

7.17 Planning Policy Statement 22 - Renewable Energy (2004)

PPS22 focuses on Renewable energy and states that an increased in the development of renewable energy resources, large or small, is vital to facilitating the delivery of the Government's commitments on climate change and renewable energy. Renewable energy projects also have many environmental and economic benefits that should be taken into consideration by local planning authorities.

Local planning authorities may include policies in local development documents that require a percentage of the energy to be used in new residential, commercial or industrial developments to come from on-site renewable energy developments.

In relation to noise and disturbance PPS22 states that local planning authorities may set out minimum separation distances between different types of renewable energy projects and existing developments. The 1997 report by ETSU for the Department of Trade and Industry should be used to assess and rate noise from wind energy development.

7.18 PPS25 – Development and Flood Risk (2006)

The aims of planning policy is to ensure that flood risk is taken into account through all stages in the planning process, flooding events are expected to increase over the years as the climate changes, planning policies should avoid inappropriate development in areas at risk of flooding, and to direct development away from areas at highest risk.

7.19 Planning policy 25 Supplement: Development and Coastal (Change 2010)

PPS 25 supplement, states that coastal change means physical change to the shoreline, i.e. erosion, coastal landslip, permanent inundation and coastal accretion.

The Government's aim is to ensure that our coastal communities continue to prosper and adapt to coastal change.

Local Authorities should ensure that policies and decisions in coastal areas are based on an understanding of coastal change over time, prevent new development from being put at risk from coastal change by: avoiding inappropriate development in areas that are vulnerable to coastal change or any development that adds to the impacts of physical changes to the coast, and directing development away from areas vulnerable to coastal change.

7.20 North East Renewable Energy Strategy (2005)

The North East region, through its planning, economic development, sustainability and other strategies, should adopt and positively strive to achieve the Government's targets and aspirations for renewable electricity which are:
10% of regional consumption by 2010, and
20% of regional consumption by 2020

7.22 The North East England Climate Change Adaptation Study (2008)

Projects climate changes across the region to the 2050s and provides details of the impact of climate change, what changes are likely to happen, which areas will be most affected and what step can be taken to prepare and adapt to those changes.

7.23 Tees Valley Climate Change Strategy (2006)

The strategy aims to facilitate co-operation of all individuals and public and private bodies together, to safeguard the future of the Tees Valley. The strategy aims to achieve a minimum 8.75% reduction in CO₂ equivalent emissions below 2000 levels by 2012.

7.24 Tees valley Green Infrastructure Strategy (2008)

The Tees valley Green Infrastructure Strategy Provides a framework for adapting to climate change e.g. reducing flood risk and using trees to reduce urban temperature.

7.25 River Tyne to Flamborough Head Shoreline Management Plan (SMP2) (2006)

A Shoreline Management Plan (SMP) provides a large-scale assessment of the risks associated with coastal evolution and presents a policy framework to address these risks to people and the developed, historic and natural environment in a sustainable manner. The plan supports the Government's aims, to reduce the threat to people and their property; and to deliver the greatest environmental, social and economic benefit.

7.26 Wind Farm Development and Landscape Capacity studies: East Durham Limestone and Tees Plain 2007 & addendum (2009)

These detailed technical studies look at the landscape capacity of the Tees Plain which includes the non urban part of Hartlepool to accommodate wind turbines. The studies provide an evidence base for planning policy development and making decisions on planning applications for new wind turbine development. The report concludes that once the existing permissions are built, the borough will be at capacity as any further wind farm sites could have a detrimental impact on the borough, however, there may be scope for one or two additional turbines on existing sites.

7.27 Seaton Carew Coastal Strategy (2010)

Scott Wilson, on behalf of Hartlepool Borough Council has developed a long-term Coastal Defence Strategy for the Seaton Carew frontage, between Newburn Bridge and the Tees Estuary. The proposed scheme has been developed as part of an options development process for the Seaton Carew Coastal Strategy.

The Coastal Strategy was subject to a Strategic Environment Assessment (SEA) in April 2010. The SEA concluded that the Preferred Option for MA13.1A which involved upgrading the existing defences with a rock revetment toe protection, in combination with raising the defence level at the North Shelter area to the level of the surrounding defences, is unlikely to have an impact on the water quality and will maintain a suitable level of flood risk taking into account increased storm forces and wave heights due to climate change.

The SEA suggests that the scale and location of the rock revetment should be considered at the scheme level to minimise the visual impact of the defence.

In addition, the SEA indicated that the cross-sectional extent of the revetment should be minimised during the design process to minimise the impact on the landscape and heritage value of the frontage and to maximise the beach for recreational amenity and habitat.

7.28 Hartlepool Declaration on Climate Change (2004)

The Hartlepool Partnership signed the Hartlepool Declaration on Climate Change in October 2004. By signing the declaration the Partnership agreed a commitment to developing a climate change strategy across all elements of and sectors in the Partnership, establishing a baseline of greenhouse gas emissions for the town and developing a community action plan to reduce emissions and adapt to climate change.

7.29 Hartlepool Climate Change Strategy (2007- 2012)

The Hartlepool Climate Change Strategy focuses on several topics including adaptation, waste and transport and aims to reduce our CO₂ emissions and adapt to climate change.

7.30 Hartlepool Strategic Flood Risk Assessment Level 2 (2010)

This Level 2 SFRA focuses on providing greater detail for those sites shown to be at high risk of tidal flooding, between the Tees Estuary and Seaton Carew and for the high risk of fluvial flooding at the Hartlepool Hospital and Oaksway Industrial Estate sites. The Level 2 SFRA has also undertaken a more detailed assessment and confirmation of Critical Drainage Areas (CDAs).

7.31 This work forms one of the last pieces of evidence base that will underpin our emerging Core Strategy. It will also form part of the basis of a future surface water management plan which our Engineers will be leading on. The report gives us a much clearer picture of what the extent of the flooding issues are and will help to bring forward development sites at Seaton Carew, Oaksway etc.

7.32 The main document and subsequent plans are all substantial PDF files and I will provide disks for officers who require their own copy.

7.33 Hartlepool Landscape Assessment (2000)

As part of the assessment it identifies the visual quality and amenity resource value of the area and will be used in determining proposals for renewable energy proposals.

7.34 **Consultation feedback on Preferred options (January 2010)**

A number of responses were received that made direct reference to the Climate Change policy, all were in support of the inclusion of the policy, however more specific issues are outlined below:

- The Secretary of State and Natural England objected to the draft policy as they considered that it did not comply with PPS25, particularly in relation to coastal change, coastal squeeze and flood risk. The Secretary of State also objected stating the policy did not comply with PPS1 Supplement Planning and Climate Change, paying particular attention to the target percentage of the energy to be used in new development to come from decentralised and renewable or low carbon energy.
- The Environment Agency strongly support the requirement of sustainable drainage systems for new development and feel it is important to include a statement regarding the Council's commitment to the sustainable management of surface water. EA would also like a more committed and positive policy with regards to the Green Network.
- Tees Mouth Bird Club consider that many of the proposed sites are at variance with the preferred options to develop Greenfield sites on the western side of the town, North Burn and Wynyard and again undermine the Strategy's cornerstones of "sustainability" and "compact growth".
- Planning consultants objected to the Policy on the basis that it conflicts with Policy CS1 in that it does not obviously support sustainable urban extensions.

- Hartlepool residents made the following comments:
- the release of methane gas from the numerous landfill sites together with diesel particulates from the thousands of skip lorry movements in the area must have a detrimental effect on the Council's Climate Change Policy not to mention the local air quality.
- Consideration should be given to the need to reduce energy consumption and minimise CO2 emissions by movement of pupils when secondary school placement selection is carried out.
- Further development at Wynyard would increase CO2 emissions from travel patterns.
- Building a western bypass could lead to increased flooding.

Sustainability Appraisal on Preferred options (January 2010)

- 7.35 The following points were raised during the Sustainability Appraisal process:
Preferred Option CS2 addresses the environmental aspect of sustainability well but is weak on meeting economic objectives. It contributes to social sustainability mainly through encouraging community cohesion by prioritising development on previously developed land and on locations served by sustainable forms of transport. It does not refer to waste recycling and this maybe a weakness as waste recycling is one major issue of ensuring clean, sustainable landscapes and preserving the land resource.

Overall justification in selecting the Preferred Option

- 7.36 The Council's Preferred Options is to work with partners at the strategic level to facilitate action to reduce the Borough's impact on climate change thus assisting meeting the UK national target and the targets set by Hartlepool Borough Council.
The Council is committed to plan, proactively and spatially, for adapting to the effects of climate change. The Council's main aim is to create sustainable economic growth, and in doing this the council must strike the right balance between reducing Co2 emissions and meeting other social and economic objectives.
- 7.37 The Council understands that climate change is an issue which requires pro active partnership action as no single organisation can address this issue alone there is a need to change attitudes and behaviours of many residents and commitment will be sought from households, business as well as the Council.
- 7.38 Adaptation to climate change will include measures to help the Borough cope with potential changes. The local authority will take into account the locations, distribution and design and layout of new development.
- 7.39 To help reduce the need to travel by car and in turn reduce the number of CO2 emissions emitted new development should be focused in areas that offer sustainable transport options or have the potential to offer a choice of sustainable travel options, with priority given to the reuse of Brownfield land particularly where it is within the built up area of Hartlepool and considered in a sustainable location. The re use of vacant buildings is also encouraged where viable and environmentally efficient, the re use of building can be seen as a measure of recycling and in some cases is often a more suitable measure than demolition and rebuilding.
- 7.40 To help mitigate against the impacts of climate change and in particular to increased rainfall events and the likelihood of an increase in flooding new development should be avoided in areas with a likely increased vulnerability to the effects of climate change, such as flood zones. Development will not be encouraged in any flood zone, unless there are outweighing social economic and regeneration benefits, and if that is the case preference will be given to flood zone one, two and then three and development should be designed to minimise flooding.
- 7.41 The natural environment and habitat networks play an important role in adapting to the consequences of climate change; these systems can accommodate and respond to a

changing climate. Our natural environment is a vital resource, acting as both a carbon store and helping to mitigate against the effects of heavy rainfall. The natural environment can help reducing the rate of surface water run off and the intensity of flood events thereby protecting people, homes and businesses. Green infrastructure can also moderate higher temperatures in urban areas, helping to create a healthy outside temperature for residents. The council support the protection of the boroughs green spaces, not only do green open spaces provide habitats for many animals but they can help mitigate against climate change. Where possible developers will be required to provide new green spaces or incorporate green infrastructure into new development.

The council aims to protect the Boroughs coastline, not only for recreational purposes but for the habitat that resides along it.

In some instances natural erosion may be the best option as this can prevent coastal Squeeze but in other areas sea defences are necessary.

- 7.42 The provision of renewable energy will help meet the government targets and reduce the impact that Hartlepool has on climate change. Small scale renewable energy projects will also be encouraged, even though they may have a low energy output they still contribute to reducing the government's overall target.
- 7.43 Inevitably growth and development in the borough will bring more people to the borough which could in turn increase CO₂ emissions through an increase in traffic movements and an increased use of non-renewable resources. Measures should be put in place on all new major developments to help reduce the level of non-renewable resources used by stating that developers should seek to provide an energy supply from decentralised and renewable or low carbon sources where viable. This requirement should not overburden developers however the ten per cent requirement set is considered an acceptable figure as it adds little cost to overall development costs and can have a significant impact on helping the borough meet the UK CO₂ emissions reduction target.
- 7.44 The planning system has sought to balance the environmental and economic benefits of renewable energy installations with the need to protect the visual amenity of the countryside. Whilst wind turbines may be acceptable in some locations as they are an important source of renewable energy, some developments may be intrusive in the landscape, may be visually prominent, a source of noise, shadow flicker, electromagnetic interference, have significant impacts on the ecology of the area and adversely affect neighbouring residents and wildlife.
Some applications may need to be accompanied by an Environmental Assessment indicating their likely effect on human beings, flora, fauna, soil, water, air, climate, the landscape, material assets and the cultural heritage.
Any applications for such installations should include details of associated developments, this will give the local authority the opportunity to assess the likely impact upon the environment can be assessed.
- 7.45 The reduction, reuse, sorting, recovery and recycling of waste will be encouraged, details will be set out in the Joint Tees Valley Minerals and Waste Development Plan Documents.
- 7.46 The Core Strategy will aim to put as many measures in place as possible to help the residents of Hartlepool make more sustainable choices, for example improving or increasing cycle ways and providing recycling facilities.
However sustainable planning can not protect the future of Hartlepool alone, there are a number of schemes underway to help tackle Climate change within Hartlepool, however, there is a need to change attitudes and behaviours of many residents and commitment will be sought from households, business as well as the Council.

Preferred Option CS2: Climate Change

The Borough Council will work with partner organisations to help minimise and adapt to climate change by:

- **Giving priority to development, on Brownfield land where viable within the built up area of Hartlepool and then other areas that are, or have the potential to be, well served by sustainable forms of transport and be in accordance with policy CS1 and CS3;**
- **Encouraging the re-use of existing buildings and vacant floors wherever possible;**
- **Locating development in areas of low flood risk wherever possible, however if necessary, designing development to minimise the flooding risk;**
- **Encouraging environments that are robust to the effects of climate change and protect, promote and enhance biodiversity wherever practicable, including the Borough's Green infrastructure and coastline.**
- **Requiring that major new developments of 10 dwellings or 1000m² of non residential floor space should secure, where viable, 10 percent of their energy supply from decentralised and renewable or low carbon sources**
- **Encourage developments that generate renewable energy; that utilise technologies including solar panels, Biomass heating, wind turbines, photovoltaic cells and combined heat and power; and**
- **Minimise any visual and amenity effects, in accordance with policy CS24**

8. TRANSPORT

Introduction

- 8.1 The development and implementation of transport policies for roads and public transport greatly influence development proposals relating to other major land uses such as business and industry, retail, housing, leisure and recreation. The need for an efficient sustainable transport network both locally and regionally is a key factor in the overall economy and environment of the town.

8.2 Road Network

Hartlepool benefits from a road network which sees the town centre accessible by dual carriageway (A689 & A179) from both the north and the south, providing good links to the A19 and the A1 for people living, working or visiting the town.

- 8.3 Traffic flows have increased steadily over recent years, particularly on the principal road network and in urban areas. Congestion is now starting to be experienced in the town centre during peak hours where the network is operating near to capacity. This congestion is starting to affect the punctuality of bus services, the reliability of freight movement, the safety of pedestrians and cyclists and air quality.

- 8.4 Computer traffic modelling work has indicated significant future traffic growth with increased demand and distance for travel in line with Hartlepool's continued economic growth and regeneration. This would result in congestion affecting a much larger part of the Borough's road network in the future. Left unchecked, this congestion could threaten Hartlepool's continued economic growth and prosperity, increase road danger and affect the environment and wider quality of life for communities.

Rail Services

- 8.5 It is important that existing rail services are maintained and improved to Hartlepool and Seaton Carew stations ensuring adequate links to the regional and national networks. Rail will be one of the modes of transport which is likely to increase in popularity over the coming years given the rising cost of petrol and diesel and the rising congestion on the roads, and as such will play a significant role in the future of public transport.

- 8.6 It is therefore vital that frequency and reliability of services is of a high standard for Hartlepool. In collaboration with Network Rail and the train operating companies the Borough Council will work to improve and provide facilities to cater for this increased popularity and to help reduce reliance on the private car. The improvements as part of the transport interchange within the centre of Hartlepool have helped to make public transport more attractive and accessible and the Grand Central trains now provide a direct route to London.

Planning Policy Guidance 13: Transport (2001)

- 8.7 States that "Land use planning has a key role in delivering the Government's integrated transport strategy. By shaping the pattern of development and influencing the location, scale, density, design and mix of land uses, planning can help to reduce the need to travel, reduce the length of journeys and make it safer and easier for people to access jobs, shopping, leisure facilities and services by public transport, walking, and cycling".

The Traffic Management Act (2004)

- 8.8 Reducing congestion is at the heart of the Government's transport strategy. The Traffic Management Act imposes a duty on local traffic authorities to manage their networks to secure the expeditious movement of traffic (i.e. all road users) on their network, and to facilitate the same on the networks on others.

Tees Valley Green Infrastructure Strategy (2008)

- 8.9 This strategy provides a strategic approach to developing green infrastructure in the Tees Valley. Green Infrastructure planning involves the provision of strategically planned networks that link existing (and proposed) green spaces with green corridors linking urban, suburban and rural areas. Through ensuring that these networks are in place and offer safe and attractive routes for people to use it will help to encourage people to travel in a more sustainable manner.

Hartlepool Local Transport Plan (2006-2011)

- 8.10 The Borough Council's Local Transport Plan (LTP) sets out the local transport vision for the year 2021: *"Hartlepool will have a high quality, integrated and safe transport system that supports continued economic growth and regeneration. It will provide access to key services and facilities for all members of society..."*

Hartlepool Rights of Way Improvement Plan (ROWIP) (2007)

- 8.11 The ROWIP provides a list of actions (by 2017), set out in its "Statement of Actions" that looks at:
1. How local rights of way meet the present and likely future needs of the public.
 2. Opportunities provided by local rights of way for exercise and other forms of open-air recreation and the enjoyment of their area.
 3. Accessibility of the local rights of way to blind or partially sighted people and those with mobility problems.

Consultation feedback on Preferred Options (January 2010)

- 8.12 The Secretary of State objected to the Improving Connectivity policy as it conflicts with PPG13:Transport, paragraph 6. This policy should bring together the spatial implications of the strategy and the sustainable transport and accessibility considerations, for example it should be clear where the proposed park and ride facilities are located and which areas they will serve.
- 8.13 The Secretary of State also noted that the policy conflicted with para 4.8 of PPS12: Local Spatial Planning on the basis that the policy should be supported by evidence regarding the proposals and related technical and feasibility studies that are needed.
- 8.14 Other comments that were received in relation to the Connectivity Policy included:
- The Highways Agency noted that the evidence base surrounding this policy was unclear and requested that an infrastructure plan be produced to support this policy.
 - Natural England requested that the section relating to Highway Infrastructure should be expanded to include explicit reference to walking, cycling and public transport provision.
 - There were a number of representations which were supportive of the idea of a western distributor road to help ease traffic problems within the urban area of Hartlepool. Suggestions that the proposed new road should connect with both Fens and Manor schools without putting more traffic onto Truro Drive were made as well as the possibility of a new road to link with the A19.
 - There were representations which considered that this new road would create a "rat-run" from Brierton Lane to the A689 and also that road safety in the Brierton Lane area would be adversely affected by this proposal. The viability and deliverability of a new by-pass road was also questioned as well as whether the proposed route of the road would dissect a landowners holdings and therefore make their business unviable.
 - Connectivity was raised as an issue which needed more emphasis within the policy, especially in relation to Wynyard and the potential new hospital.
 - Residents who objected to the south west expansion of the town requested that should development take place in this location, a new green wedge should be

provided which would enable improvements to the local rights of way leading to the countryside and rambling routes to the villages.

Sustainability Appraisal on Preferred Options (January 2010)

- 8.15 This policy has strong environmental benefits, but should also lead to economic and social benefits through providing a better, more sustainable transport network, which, while improving access also improves the provision and quality of sustainable choices in travel that will lead to health improvements by encouraging more people to walk and cycle.

Overall justification in selecting the Preferred Option

- 8.16 The strategic context for the development of transportation policies and proposals in the Core Strategy is provided by a number of strategies and initiatives, principally:

- Regional Transport Strategy.
- Regional Economic Strategy.
- Northern Way
- Tees Valley City Region Development Plan
- Hartlepool Local Transport Plan.

- 8.17 As illustrated in Table 1, in 2008 there were 39.3% of households in Hartlepool with no car. This figure is well above the national average of 26.8% (England & Wales, 2007 ONS). Therefore, it is important that appropriate and accessible provision is made for modes of transport other than the private car. This includes public transport (bus and rail services) and personal transport (for cyclists and walkers).

- 8.18 Traffic congestion should be tackled by improving accessibility through the provision of effective alternatives to, rather than restricting, the use of the private car. Such improvements will enable people who do not have access to a car to get to the services and facilities that they need and provide those people do have a car with an alternative so that they can if they chose, reduce their dependence on it. Demand management measures should be continued that are consistent with the needs of the local economy and regeneration aims. These measures should include controlling car parking through availability and cost, promotion of smarter choices as well as influencing the location of future development to manage the demand for travel. Improved management of the existing highway network and road and junction improvements should also be used to unlock under-used capacity of existing road links and junctions, these measures can be coupled with other improvements in Related infrastructure including improving access to bus stops, railway stations and charging points for electric cars.

- 8.19 The Borough Council recognises that it has a crucial role to play in managing or mitigating the impact of congestion at the local level to implement the network management duty.

- 8.20 One particular area of concern on the network is the A19 and A689 junction which, despite being outside of the local authority's boundary, is a pivotal point on the strategic network which all future major developments, especially in the south of the Borough, are likely to affect other junctions on the A689, serving Wynyard and Wolviston.

- 8.21 The creation of a major distributor road which would run along the western fringe of the town between the A689 in the south and the A179 may help to relieve traffic congestion in the longer term on the road network in Hartlepool, especially the A19/A689 junction and Catcote Road. Investigations into the requirement and feasibility of such a proposal will therefore be undertaken by the Borough Council in cooperation with the partners and the Highways Agency. Within the Plan period the new access road into the Claxton development will be required to be built to a standard and design which will form the first stage of this western distributor road.

- 8.22 Other strategic road improvements which the Borough Council will look to implement if required include:
- 8.23 A19 Wolviston Second Access: The corridor for a second access to the Samsung development from the A19 Wolviston slip road (southbound) will be safeguarded. This will enable access to land for Phase 3 of the North Burn electronic components park.
- 8.24 B1277/A178 Brenda Road/Tees Road: A corridor of land is identified along the B1277 Brenda Road and the section of the A178 between Brenda Road and Greatham Creek to allow for the future upgrading of this route in the long term should a Tees crossing prove viable. The development of the scheme will take close consideration of the internationally important wildlife sites within the surrounding environment.
- 8.25 A179 (Powlett Road) Improvement: The upgrading of this section of the A179 to dual-carriageway would complete the upgrading of the whole stretch of the A179 in the inner urban area of Hartlepool out to the A19. Investigations into the feasibility and requirement of this scheme will be undertaken by the Borough Council prior to any improvement to the road being considered.
- 8.26 Longer term aspirations involve works as part of the Tees Valley Metro system which will see the service extended to Hartlepool and further investment in the rail network, helping to improve the quality of stations, services, facilities and the frequency of the trains. As part of the proposals it is envisaged that a new station at Queens Meadow will be investigated. This may provide the opportunity for Park and Ride facilities to be providing in this location.
- 8.27 As part of possible long term future improvements to the rail network in Hartlepool and to support economic growth, land will continue to be reserved for an extension of the railway line from the Seaton Snook branch line to Seal Sands. Development proposals which would impact on this route would be required to identify alternative, feasible options to achieve this long term aspiration.

Green Transport Networks

- 8.28. The creation of new networks of pedestrian and cycle links in the Borough is a key aspiration of the Borough Council. Over recent years a large amount of investment has been aimed at providing a network of good quality coastal, rural and urban routes which inter-connect and offer a variety of options to users. It is recognised that having this network in place will not only benefit recreational users but will play an invaluable role in creating opportunities for sustainable ways of travel and of reducing the need to travel by car.
- 8.29 These green transport networks play an important role in the generation of high quality green infrastructure in Hartlepool. At a sub-regional level the Tees Valley Green Infrastructure Strategy highlights key elements of existing green infrastructure and helps to illustrate where there are deficiencies in provision which need to be addressed. This information along with aspirations set out in the Local Transport Plan and the Rights of Way Improvement Plan will help to focus future investment in Green Networks in Hartlepool.

CS3 STRATEGIC TRANSPORT

The Borough Council will work with key partner organisations and neighbouring local authorities to deliver an effective, efficient and sustainable strategic transport network. Development will contribute to the delivery of a sustainable transport network which whilst reducing the need to travel, will:

- a) improve connectivity within and beyond Hartlepool, including:
 - i between Hartlepool and the wider Tees Valley;
 - ii with Durham Tees Valley Airport;
 - iii with the Tyne and Wear city region.
- b) improve accessibility for all;
- c) facilitate and support the locational strategy identified in Preferred Option CS1;
- d) foster economic growth and inward investment;
- e) promote Hartlepool town centre as a strategic public transport hub through
- f) continued investment within and linking to the public transport interchange;
- g) improve the quality and reliability of the bus network;
- h) promote alternative sustainable modes of transport other than the private car;
- i) deliver significant improvements to the rail network; and
- j) contain an integrated network of cycle and pedestrian routes.

CS4 IMPROVING CONNECTIVITY IN HARTLEPOOL

The aims of CS4 will be achieved through a balanced package of highway and public transport improvements which are set out in detail in the Local Infrastructure Plan and include:

- a) strategic road Improvements including:
 - i. A19 / A689 / Wynyard / Wolviston network capacity improvements;
 - ii. A new western distributor road;
 - iii. A19 Wolviston Access Road to North Burn
 - iv. B1277 / A178 Brenda Road – Tees Road, and
 - v. A179 Powlett Road Improvement.
- b) introduction of park and ride facilities at Greatham in association with a new rail halt as part of the Tees Valley Metro development;
- c) improvements to the pedestrian environment, in particular improved pedestrian links within the Central Area between Middleton Grange Shopping Centre and other parts of the town centre including Mill House, Church Street, the Public Transport Interchange, the Marina and elsewhere in the urban area between schools and other community facilities.
- d) Continued development of the pedestrian and cycle network and associated facilities, with particular importance attached to the implementation and improvement of the following links:
 - i. Town Centre to North West Hartlepool;
 - ii. Town Centre to South East Hartlepool;
 - iii. Marina to the Headland including the long term aspiration of a bridge across the Harbour;
 - iv. The Marina to Seaton Carew and Greatham;
 - v. Greatham to Summerhill;
 - vi. Sappers Corner to Wynyard;
 - vii. Rural western fringe route; and
 - viii. Graythorp to Greatham
 - ix. Across the urban area between schools and community facilities.
 - x. A new pedestrian bridge crossing the A19 to link the western part of the Borough with the existing Rights of Way network.
- e) Continued improvements to the rail network. Land will continue to be safeguarded for a possible extension of the railway line from the Seaton Snook branch line to Seal Sands.

New developments likely to have an impact on the transport network within the Borough may be required to produce transport assessments or travel plans. Planning Conditions or legally binding agreements will be used to secure any improvements necessary to the transport network as a result of a development. Such improvements may require financial contributions from developers.

9. NEW DEVELOPMENT

- 9.1 In order to ensure that new developments in Hartlepool do not detrimentally impact on the existing infrastructure of the town, it is necessary to ensure that careful consideration is given to the impact that the policies in the Core Strategy could have in the future. Where it is believed that there will be a negative impact as a result of a new development, mitigation measures need to ensure that the infrastructure system and related facilities are able to cope with the stresses that new developments cause.
- 9.2 This means that it is necessary for this Core Strategy to develop policies which facilitate the delivery of improved infrastructure such as better quality roads, sewage treatment and the related network of infrastructure, green spaces, play areas, community facilities including schools, leisure facilities and community centres.

Facilitating Development

- 9.3 The Borough Council will continue to use planning conditions as part of the planning application process to ensure that new developments in the town are well designed and attractive and will have a positive impact on the townscape of Hartlepool. New development however, often puts pressure on already over-stretched infrastructure and it is generally expected that developers will mitigate or compensate for the impact of their proposals by way of 'Planning Obligations'.
- 9.4 Planning Obligations normally relate to an aspect of a development that cannot be controlled by imposing a planning condition or by other statutory controls. New regulations came into force from 6 April 2010 which places three tests on the use of planning obligations. In determining an application, it is unlawful to take into account a planning obligation that does not meet all three tests, which are that the obligation is:
- (a) necessary to make the development acceptable in planning terms;
 - (b) directly related to the development; and
 - (c) fairly and reasonably related in scale and kind to the development

Circular 5/05

- 9.5 Circular 5/05 reiterates previous guidance that planning obligations should only be sought where they meet the following tests:
- (i) relevant to planning;
 - (ii) necessary to make the proposed development acceptable in planning terms;
 - (iii) directly related to the proposed development;
 - (iv) fairly and reasonably related in scale and kind to the proposed development; and
 - (v) reasonable in all other respects.
- 9.6 Circular 5/05 is expected to be replaced by a "Planning Obligations" Annex to the draft "Development Management" PPS in late 2010.
- 9.7 The Community Infrastructure Levy (CIL) was brought in by the previous government as a standard national tariff with a locally set level. Whilst the CIL rate will relate to the overall cost of identified infrastructure required in the area, CIL revenue may be spent on any infrastructure needed, anywhere in the borough, not necessarily in the vicinity of any particular development.

- 9.8 Circular 05/05 also provides guidance on provision for subsequent maintenance of facilities and on pooling developer contributions from planning obligations in cases where individual developments will have some impact but not sufficient to justify the need for a discrete piece of infrastructure. Any pooling of contributions, including the calculation of planning contribution requirements or a CIL levy will be determined through either the SPD on planning obligations or through a CIL charging schedule should the local authority decide to adopt the CIL approach.

Planning Policy Statement 1: Delivering Sustainable Development (2005)

- 9.9 PPS1 states that 'Sustainable development is the core principle underpinning planning. At the heart of sustainable development is the simple idea of ensuring a better quality of life for everyone, now and for future generations. It also states that 'Planning has a key role to play in the creation of sustainable communities: communities that will stand the test of time, where people want to live, and which will enable people to meet their aspirations and potential.'

Planning and Compulsory Purchase Act (2004)

- 9.10 Compulsory purchase powers are recognised as an important tool for effective and efficient urban regeneration, as they provide a means of assembling the land needed to help deliver social and economic change and infrastructure. The local authority has used these powers previously to help delivery of Housing Market Renewal schemes and will use these powers in the future where it is seen as appropriate and necessary towards the overall delivery of a specific aim. These powers will only be used as a last resort where other negotiation routes have been exhausted.

Planning Obligations Supplementary Planning Document (Draft) (2009)

- 9.11 A Planning Obligations Supplementary Planning Document has been produced (which should be formally adopted in Autumn 2010) which will provide guidance on the requirements and mechanisms for contributions from development for infrastructure and other related provision. The Planning Obligations SPD will:
- provide greater clarity for developers and applicants;
 - help speed up the processing of applications;
 - provide a clearer framework for assessing requirements and for calculating contributions; and
 - play an important role in ensuring community and infrastructure needs are fulfilled as part of new development.

Consultation feedback on Preferred Options (January 2010)

- 9.12 Representations received on this policy were generally supportive, however a number of suggested alterations were made.
- 9.13 It was considered that the policy should incorporate reference to the Community Infrastructure Levy (CIL) as a possible way of securing contributions towards infrastructure costs in the future should the local authority choose to adopt this approach.
- 9.14 It was requested that rights of way and cycle tracks be included within the Policy. There were two responses from companies made which raised concern over the requirement for affordable housing in relation to new developments of executive housing sites.

Sustainability Appraisal on Preferred Options (January 2010)

- 9.15 This option incorporates a range of positive benefits including improving training and employment opportunities, encouraging housing on previously developed land and improvement and enhancement to the natural environment and community facilities. There is a need, however, to ensure that the levels of contribution do not deter economic and housing investment.

Overall justification in selecting the Preferred Option

- 9.16 The Borough Council's Preferred Option to secure developer contributions as a result of new developments is in line with national policy guidance as set out above and will enable the Borough Council to ensure that new developments contribute towards the infrastructure and facilities upon which they will place additional pressure. It will help to contribute towards an identified shortfall of affordable housing in the Borough, will improve the standard of the environment in and around development sites and will help towards tackling climate change.
- 9.17 The local authority has used Compulsory Purchase Powers in the past to facilitate the delivery of Housing Market Renewal schemes and will use these powers in the future where it is seen as appropriate and necessary towards the overall delivery of a specific aim and where all other delivery options have been exhausted.

Preferred Option CS5: Planning Obligations and CPO

The Borough Council will seek contributions from developers for the provision of additional works deemed to be required as a result of the development. The calculation of planning contribution requirements or a CIL levy will be determined through the SPD on Planning Obligations or through a CIL charging schedule. Contributions may, for example, be required for the following:

- Affordable housing.
- Open space, outdoor sport/recreation and play facilities.
- Built sport facilities.
- Highway infrastructure.
- Community facilities.
- Green infrastructure and biodiversity, included flood protection measures such as Sustainable Urban Drainage Systems (SUDS).
- Other necessary flood protection measures
- Community safety.
- Training and local employment.
- Public art.
- Housing market renewal.
- Public conveniences
- Neighbourhood management
- Renewable energy.

Any contributions will be secured by developers entering into a Legal Agreement with the Borough Council.

Where it is considered appropriate, the Local Authority will use Compulsory Purchase Powers where the overall delivery of a specific aim is dependant on the acquisition of property or land in a specific location.

Community Facilities and Services

- 9.18 Community facilities including schools, community centres, libraries, health care facilities and indoor sports facilities are vital to ensure communities are prosperous, sustainable, healthy, vibrant and safe. The provision of a range of community facilities is particularly important on large sites where whole new communities are being created. It is also important however, to ensure that the scale of existing facilities keep up with expanding populations through smaller incremental developments. The need for effective infrastructure planning is recognised within PPS12 which highlights that “the core strategy should be supported by evidence of what physical, social and green infrastructure is needed to enable the amount of development proposed for the area, taking account of its type and distribution”.
- 9.19 The network of public utility infrastructure which provides for developments such as sewers and telecommunications is also vital. Consideration will need to be given to how a new development will impact on surrounding and nearby areas which link into the same systems. Many areas of the town are currently at capacity in terms of the sewerage system and further developments which are linked into the system could consequently cause overflowing in some areas. The Borough Council will therefore ensure that the potential impacts of new developments are considered at an early stage and will require enhancements to the network where necessary.

Education Facilities

- 9.20 Educational provision is an integral part of new residential development and contributes towards achieving sustainable communities. Developments that are likely to generate an increased demand for school places will need to contribute towards expanding existing education facilities where the development is not of a sufficient size to require a new school.
- 9.21 Since the first Preferred Options Stage of the Core Strategy the Building Schools for the Future (BSF) programme has been cancelled by the coalition government. The only secondary school in Hartlepool which will now be remodelled under this scheme is Dyke House. This decision has major implications for the future of the secondary schools in Hartlepool as many of the schools are in great need of modernisation.
- 9.22 Over the Core Strategy period, unless new funding becomes available through the Government for investment in the schools, it will be important that the Core Strategy takes account of the implications and pressures that new developments will put onto existing schools and ensures that funding towards school improvements is secured as part of any new developments.
- 9.23 Based on current pupil projections the education team are confident that there are sufficient secondary school places available across the town to accommodate the expected population growth arising from the proposed housing sites. Every year the local authority reviews the arrangements on admission numbers for schools. The local authority takes into account pupil projections, parental preference and net capacity of the schools and from this then set the admission limits. At this point the local authority also reviews current admission zones and criteria to decide whether they remain suitable for effective education provision. These can both be changed following consultation. The local authority draft our arrangements and then consult the public on them 18 months prior to a child's admission to school.
- 9.24 Detailed work is ongoing as part of the Primary Capital Programme (PCP) within Hartlepool which is looking at the future of all Primary Schools within Hartlepool. Public consultation has been at the heart of the development of the Primary Capital Programme.

- 9.25 It is anticipated that the PCP will be a 15 year programme with the funding received in an incremental fashion. Hartlepool has received £8.4m in the first phase and this money will be used to build a new school at Jesmond Road with the surplus money being invested in the refurbishment of key aspects of Rossmere School. Other priority schools have been identified for further phases once funding is received these include Barnard Grove, Holy Trinity, St Aidans, St Cuthberts and West View.
- 9.26 For developments of 750 dwellings or more a primary school will normally be required on-site, subject to spare capacity in local schools. In cases where a school is to be provided on site, the developer will normally be expected to set aside sufficient land and to construct educational facilities to the Borough Council's design and specification at the developers' own costs.

Health Care Provision

- 9.27 The provision of vital healthcare facilities as part of new developments will be pivotal in ensuring sustainable and healthy communities. Facilities such as doctors, dentists and health clinics will be sought as part of any large residential or mixed use developments in the town (over 750 dwellings). The proposed new hospital at Wynyard will have a significant effect on how some health care is provided with re-arrangement and enhancement of some facilities within the town itself.
- 9.28 The Borough Council will ensure these types of critical community facilities are provided through Policy CS5, Facilitating Development.

Indoor Sports facilities

- 9.29 The Borough is well served by a wide range of indoor sports facilities which are invaluable to the health of the residents of the town. As well as the Mill House Leisure centre and swimming pool there is also the Headland Sports centre and the Belle Vue Leisure Centre available to the public during the day with a range of other facilities available to the public at a number of schools on an evening. It is vital that these facilities are maintained and where possible enhanced to ensure that the residents of Hartlepool have a wide choice of good quality indoor sports facilities.

Consultation feedback on Preferred Options (January 2010)

- 9.30 There was good overall support for this option within the representations received.
- 9.31 The main objection to this Preferred Option was from the Secretary of State who felt that it conflicted with para 2.3 of PPS12 which states that "Spatial planning plays a central role in the overall task of place shaping and in the delivery of land, uses and associated activities." It was also commented that programmes such as BSF and PCP should be included as part of the policy.
- 9.32 Sport England were concerned that built sports facilities are not afforded protection in the same way as sport pitches and that there was no policy which sought to preserve and where necessary, enhance the quality, quantity and accessibility of the towns built sports facilities.
- 9.33 The Hartlepool Deanery Synod noted that it was essential that community centres and recreational areas are provided as an essential component of large scale developments, especially at Claxton.

Sustainability Appraisal on Preferred Options (January 2010)

- 9.34 The policy was assessed as being strongest in achieving the social component of sustainability more than the economic and environmental aspects. Social benefits include community cohesion, better health, better lifestyles and sense of belonging. No strong relationship with waste, housing, water and air & soil pollution. Indirect benefits of the policy will be the economic growth through providing an educated workforce.

Overall justification in selecting the Preferred Option

- 9.35 The Borough Council has a duty to ensure that the residents of Hartlepool are provided with a range of quality community facilities which will meet their expectations both now and in the future. Any future developments that occur within Hartlepool must not unduly put pressure onto existing facilities and therefore it is critical that the provision of new community facilities and services to cope with the additional pressure of new development is considered at an early stage in any future development proposals.
- 9.36 The need to guard against increasing the flood risk and avoid putting additional pressure on vital infrastructure in any areas where development will occur in the future is also of great importance. This will be of particular importance in areas shown to be at risk of flooding within the Strategic Flood Risk Assessment (2010).

Preferred Option CS6: Community Facilities and Services

The Borough Council will seek to ensure, in accordance with the spatial vision of this plan, that everyone now and in the future has access to community facilities which meet people's educational, social, leisure and health needs.

As part of the Strategic Housing site at Claxton, the developer will be required to safeguard a site for a Primary School and to construct it to the Council's design and specification requirements subject to viability. A local centre will also need to be developed which will be expected to incorporate community facilities to enhance the sustainability of the development.

When considering the provision of new community facilities, health facilities, schools or indoor sports facilities as part of a new development, regard will be had to the following criteria:

- a) The capacity and proximity of similar nearby community facilities
- b) Whether enhancements to the quality and accessibility of nearby built sports facilities would adequately meet the needs of the area's new population
- c) The need or scope to incorporate other related educational and community initiatives within the proposed development.
- d) Conformity with Preferred Options CS1, CS2, CS3, CS18 and CS20.

The Borough Council will ensure that the potential impacts of new developments are considered at an early stage and will require enhancements to infrastructure and services where necessary to ensure that there is no detrimental impact on surrounding areas as a result of the new development.

10. HOUSING

Housing Market Renewal

- 10.1 In some parts of the town there are concentrations of housing where there is an imbalance between supply and demand. The resultant housing market failure or weakness manifests itself in a number of ways including: significantly lower than average house price; concentrations of vacant/void properties; housing demand dominated by investors and private landlords; absence of owner-occupiers (including first-time buyers); and anti-social behaviour. A holistic approach will be required to tackle the problems of low demand and abandonment and redress the imbalance. A combination of clearance, improvement, environmental enhancement and redevelopment will be required to restore confidence and encourage investment in order to attract a more varied population providing greater spending power and leading to the creation of sustainable communities.

Planning Policy Statement 3 Housing (2006)

- 10.2 PPS3 sets out the national planning policy framework for delivering the Government's housing objectives with regard to new housing provision.
- 10.3 Using guidance established in paragraph 25 PPS3 the Borough Council is seeking to provide a variety of high quality market housing. This will include addressing shortfalls in the supply of market housing and encouraging the managed replacement of housing, through Housing Market Renewal programmes.

Consultation feedback on Preferred Options (January 2010)

- 10.4 The previous preferred option regarding housing market renewal was proposed as part of the housing mix preferred option. The two policy frameworks have been split into two distinct policies for the purpose of this document in order to aid clarity. The previous preferred option suggested a holistic approach should be taken with regard to the Borough Council tackling the problems of low demand, housing market failure and increasing vacancy.
- 10.5 There was general support for the approach taken in the preferred option.

Sustainability Appraisal on Preferred Options (January 2010)

- 10.6 The Sustainability Appraisal of the proposed preferred option stated that it would have the potential to achieve strong economic and social benefits, in the short term and particularly in the medium to long term as new housing is developed. Environmentally the benefits are minimal and overall there would be a potential marginal negative impact with particular regard to CO2 emissions, waste generation, energy efficiency, use of natural resources, and climate change. No change was proposed to the option.

Overall justification in selection the Preferred Option

- 10.7 The preferred option is to improve the existing housing stock in the Borough through tackling the established problems of low demand, housing market failure and weakness and increasing vacancy in the Borough and increasing vacancy in the Borough.

Preferred Option CS7: Housing Market Renewal

The Borough Council will seek to tackle the problem of the imbalance of supply and demand in the existing housing stock through co-ordinated programmes including Housing Market Renewal.

Priority will be given to the housing regeneration areas in Central Hartlepool.

New Housing Provision

- 10.8 The need for new housing development in the Borough is primarily driven by an increase in new household formation amongst the existing population, in-migration from adjoining Boroughs, the retention of young people and working age people bearing in mind the improvements and diversification of the local economy and the ongoing replacement of obsolete housing stock.
- 10.9 The overall housing need cannot be met by the existing housing stock and therefore a greater quantity and mix of housing needs to be provided in the future. Over the next five years a large proportion of the additional dwellings could be accommodated on sites which benefit from existing planning permissions and/or are already earmarked for development. These sites are identified in appendix 4. However, there is insufficient capacity in these existing identified housing sites to meet the housing need over the next 15 years. Therefore, it would not be prudent to solely rely on these identified sites to deliver housing in the short term let alone the medium to long term. There is a need to identify new housing sites, including a large strategic housing site that can provide a phased housing supply over the next fifteen years with the capacity to make up any potential shortfall and to provide a range and choice of house densities, types and tenures.

Planning Policy Statement 3 Housing (2006)

- 10.10 PPS3 sets out the national planning policy framework for delivering the Government's housing objectives with regard to new housing provision.
- 10.11 Using guidance established in paragraphs 32 and 33 in PPS3 the Borough Council has drawn together various sources of evidence to establish a sustainable and achievable future housing provision that is needed in the Borough and that can be delivered over the next 15 years. The need for the locally derived future housing provision is a direct response to the revocation of the Regional Spatial Strategy (RSS) which previously set a local housing provision target for the Borough. The future housing provision for the Borough is illustrated later, starting at paragraph 10.13.
- 10.12 Using guidance established in paragraphs 38 to 61 the Borough Council has set out a strategy for the planned location of new housing; recognising existing housing areas and identifying a range of new housing sites in diverse and sustainable locations. Further to this, paragraph 41 states that the national annual target for new housing on brownfield land should be at least 60%.

Future Housing Provision in the Borough for the Next 15 Years (September 2010)

- 10.13 The future housing provision for the Borough is detailed in the document "*Future Housing Provision in the Borough for the Next 15 Years*" produced by the Borough Council, which is part of the LDF evidence base and can be read alongside this document. The following paragraphs give a summary of the evidence.
- 10.14 The revocation of the RSS means that the Borough Council can now set its own locally derived future housing provision, based on local evidence rather than being "dictated" to by a regional planning body. Taking the previous Preferred Options consultation into consideration and the desire in the Borough to reduce the future housing provision numbers, the Borough Council has re-assessed the future housing need in the Borough.

- 10.15 The proposed housing provision over the next 15 years takes into consideration the overall ambition of the Government and the additional housing need arising from newly forming households over the next 15 years. The ambition and housing need is tempered by the current capacity of housebuilders in the Borough and the current weak national and local housing market in its phasing and overall housing numbers. This ensures that the housing provision advocated, which meets 92% of the housing need resulting from estimated newly forming households, will actually be achievable and ultimately deliverable over the next 15 years.
- 10.16 The table below outlines an indicative phasing of the housing provision over the next 15 years broken down into gross and net additional dwelling requirements.

Table 6: Housing Need Provision Over the Next 15 Years

Year	Gross Additional Dwellings	Planned Demolitions	Net Additional Dwellings
2011/12	325	-40	285
2012/13	325	-40	285
2013/14	325	-40	285
2014/15	325	-40	285
2015/16	325	-40	285
2016/17	370	-40	330
2017/18	370	-40	330
2018/19	370	-40	330
2019/20	370	-40	330
2020/21	370	-40	330
2021/22	385	-40	345
2022/23	385	-40	345
2023/24	385	-40	345
2024/25	385	-40	345
2025/26	385	-40	345
Totals	5,400	-600	4,800

- 10.17 The provision requires a total of 5,400 new dwellings to be built, equating to an average of 360 each year. Taking planned future demolitions into consideration this means a net additional dwelling requirement of 4,800, equating to an average of 320 each year. The Borough Council therefore has to identify and, where appropriate, allocate enough housing land to cater for approximately 5,400 new dwellings over the next 15 years. All of the above information is detailed in the document “*Future Housing Provision in the Borough for the Next 15 Years*” produced by the Borough Council.

Housing Implementation Strategy (HIS) (October 2010)

- 10.18 Having established the future housing provision required in the Borough over the next 15 years, appropriate housing sites have to be identified to accommodate the new housing growth. The future housing supply, phasing and distribution will be detailed and discussed in the document “*Housing Implementation Strategy*” produced by the Borough Council, which is part of the LDF evidence base and can be read alongside this document. The following paragraphs summarise the document.

- 10.19 The Strategic Housing Land Availability Assessment (SHLAA) represents an evaluation of sites throughout the Borough which could be allocated for housing. These included a variety of sites of varying sizes within the urban area and also large strategic sites that have the ability to provide new housing over the next 15 years.
- 10.20 The SHLAA considered potential housing sites and assessed their suitability, availability and achievability to determine when an identified site is realistically expected to be developed. Based on this technical information and housing need preferred sites emerged, including:
- An existing “stock” of planning permissions and other suitable urban brownfield sites.
 - A collection of sites to the south west of the urban area, making one strategic site.
 - A series of discrete sites to the north west of the urban area.
 - Extensions to the existing Wynyard area.
 - Small sites on the edge of Elwick and Hart villages.
- 10.21 As detailed in the “*Housing Implementation Strategy*” document, the future supply of new housing in the Borough will come from a variety of sources phased over the next 15 years. Table 7 shows how the future housing supply will be distributed across the Borough.
- 10.22 The 3,000 total dwelling capacity for the newly identified greenfield sites is estimated through looking at typical housing densities in adjacent or nearby residential areas. Further to this there is a desire to create a quality residential environment on the new sites that is an improvement on the nearby residential areas. Bearing this in mind each individual site has a tailored maximum dwellings per hectare threshold which calculates to a maximum dwelling provision on each site. Although individual sites differ, the overall average density is approximately 25 dwellings per hectare.

Table 7: Future Housing Supply over the Next 15 Years

Housing Site Source	Maximum Dwellings per Hectare	Maximum Additional Dwellings	Land Type	Dwelling Type	%
Existing Urban Area					
Existing Planning Permissions	n/a	1,250	Mixed	Mix of Types	23%
Identified Urban Sites	n/a	1,150	Brownfield	Mix of Types	21%
Existing Urban Area	n/a	2,400	Brownfield	Mix of Types	44%
South West Extension					
Claxton	21	1,500	Greenfield	Mix of Types	27%
Eaglesfield	28	650	Greenfield	Mix of Types	12%
Owton Grange	28	250	Greenfield	Mix of Types	4%
South West Sub Total	25	2,400	Greenfield	Mix of Types	44%
North West Extension					
Upper Warren	20	150	Greenfield	Mix of Types	3%
Quarry farm	10	50	Greenfield	Executive	<1%
Tunstall Farm	8	60	Greenfield	Executive	<1%
North West Sub Total	13	260	Greenfield	Mix of Types	5%
Wynyard Extension					
Wynyard Woods West	6	100	Greenfield	Executive	2%
Pentagon	10	165	Greenfield	Executive	3%
Forest West	7	20	Greenfield	Executive	<1%
Forest East	7	15	Greenfield	Executive	<1%
Wynyard Sub Total	8	300	Greenfield	Executive	6%
Villages					
Elwick	10	25	Greenfield	Mix of Types	<1%
Hart	10	15	Greenfield	Mix of Types	<1%
Villages Sub Total	10	40	Greenfield	Mix of Types	1%
Total Dwelling Delivery		5,400			

- 10.23 Table 8 shows a scenario as how the housing sites could be phased over the next 15 years and be deliverable. The majority of the first 5 years delivery will come from existing planning permissions and sites identified in the SHLAA as being deliverable within five years. These sites will be focussed within the urban area and the majority will be on previously developed land.
- 10.24 The South West Extension is of strategic importance for the future delivery of housing in the Borough over the next 15 years. The Borough Council must ensure that the delivery of the South West Extension is not restricted in any way and that the phasing of other housing sites is timed in such a way so as not compete. Significant infrastructure works, including a new access onto the A689, new interconnecting roads cycleways and footpaths, utilities and services are required for the development to start in the short term and deliver the significant housing provision required over the long term. Therefore the South West

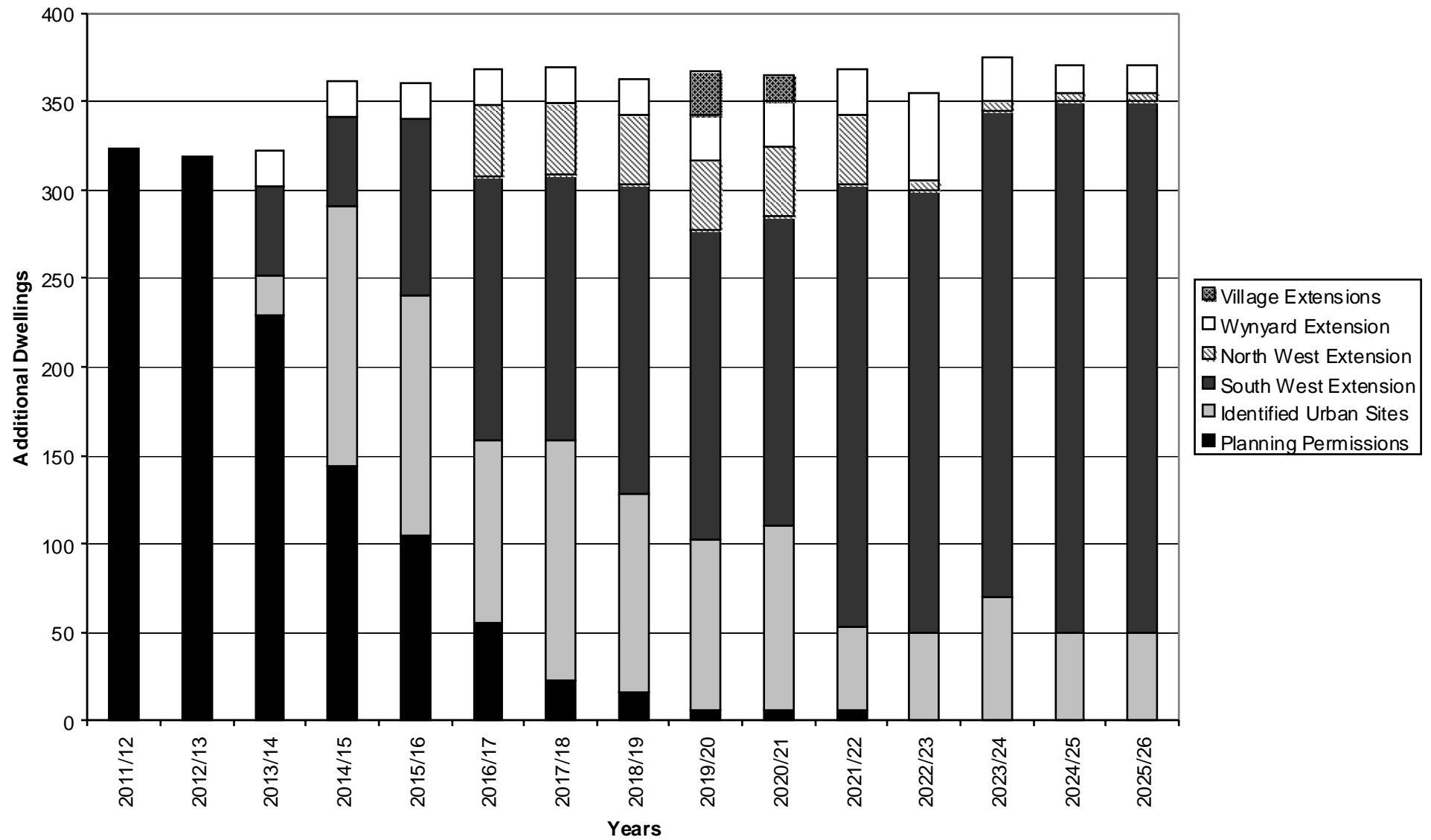
Extension, in particular the Claxton element, needs to start as early as possible to ensure housing delivery occurs and continues to deliver over the next 15 years. As a result the South West Extension, particularly Claxton, is planned to come forward early and contribute some provision in the first 5 years.

- 10.25 For the second and third 5 year periods the bulk of delivery will switch to strategic sites on the edge of the urban area which will be predominantly on greenfield sites, however it is anticipated that some urban sites will contribute to the delivery. The specific details, of the delivery of housing over the next 15 years, are contained in the Housing Implementation Strategy included as part of the evidence base of the LDF.
- 10.26 Table 8 and graph 1 illustrates a predicted scenario where the development of the identified housing sites could be phased over the next 15 years and be deliverable.

Table 8: Predicted Phasing of Housing Sites over the Next 15 Years

	Housing Delivery Source	2011/12	2012/13	2013/14	2014/15	2015/16	2016/16	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
Existing Urban Area	Planning Permissions	324	319	229	144	105	55	23	16	6	6	6	0	0	0	0
	Identified Urban Sites	0	0	23	147	135	103	136	112	96	104	47	50	70	50	50
South West Extension	Claxton			50	50	75	100	100	125	125	125	150	150	150	150	150
	Eaglesfield					25	50	50	50	50	50	75	75	75	75	75
	Ow ton Grange											25	25	50	75	75
North West Extension	Upper Warren						25	25	25	25	25	25				
	Quarry Farm						5	5	5	5	5	5	5	5	5	5
	Tunstall Farm						10	10	10	10	10	10				
Wynyard Extension	Wynyard Woods West			10	10	10	10	10	10	10	10	10	10			
	Pentagon			10	10	10	10	10	10	15	15	15	15	15	15	15
	Wynyard Forest West												10	10		
	Wynyard Forest East												15			
Villages	Elwick									10	15					
	Hart									15						
Overall Annual Provision		324	319	322	361	360	368	369	363	367	365	368	355	375	370	370

Graph 1: Predicted Phasing Trajectory of Housing Sites over the Next 15 Years



- 10.27 Table 8 and graph 1 illustrates the predicted scenario where the development of the identified housing sites could be phased over the next 15 years and be deliverable. If this predicted scenario where to deliver table 9 below illustrates the how this will impact on development on brownfield land.

Table 9: Phased delivery on Brownfield Land

	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
Greenfield	87	20	85	123	168	210	235	235	276	280	315	305	305	320	320
Brownfield	237	299	237	238	192	158	134	128	91	85	53	50	70	50	50
% Brownfield	73	94	74	66	53	43	36	35	25	23	14	14	19	14	14

- 10.28 As previously stated, Planning Policy statement 3: Housing (PPS3) states that the national annual target for new housing on brownfield land should be at least 60%. As illustrated in table 9, in the short term it is anticipated that will be well in excess of the 60% national target, however as more of the strategic housing sites develop the brownfield contribution will be reduced. In the last 5 years of the plan it is anticipated that brownfield delivery will be below 20%. The mean delivery over the next 15 years would equate to approximately 40% on brownfield land.

Consultation feedback on Preferred Options (January 2010)

- 10.29 The preferred option proposed a future housing provision of 6,800 new additional dwellings for the Borough, its indicative phasing and allocated sites where new housing would be situated. The scale of the option was heavily influenced by the Regional Spatial Strategy (RSS) for the North East. The option had to reflect the net additional dwelling provision for Hartlepool advocated in policy 28 in the RSS, which amounted to a net additional dwelling requirement of 6,800 dwellings over the next 15 years. This requirement was reflected in the amount of housing land that was allocated in the option.
- 10.30 This preferred option provided the greatest response from the public. A summary of the general points that were raised, on this specific preferred option, during the consultation are illustrated below:
- Future housing demand figures are too high and that the planned future housing provision should be reduced.
 - Unacceptable pressure on the existing infrastructure including specific roads in residential areas, the strategic road network, wider transport, local services and schools resulting from new housing on greenfield sites.
 - Unacceptable loss of high quality agricultural land, landscape and countryside.
 - Unacceptable impact on the amenity of nearby existing residential areas.
 - More green infrastructure should be incorporated into new housing sites.

Sustainability Appraisal on Preferred Options (January 2010)

- 10.31 The Sustainability Appraisal of the proposed preferred option stated that it would have the potential to achieve strong economic and social benefits, in the short term and particularly in the medium to long term as new housing is developed. Environmentally the benefits are minimal and overall there would be a potential marginal negative impact with particular regard to CO2 emissions, waste generation, energy efficiency, use of natural resources, and climate change.
- 10.32 No change was proposed to the option as potential negative impacts, specifically the environmental impacts could be mitigated through the implementation of other policies in the Core Strategy Preferred Options.

- 10.33 **Overall justification in selecting the Preferred Option**
The Borough Council's Preferred Option is to improve existing and create new sustainable residential communities throughout the Borough by providing a mix of housing sites that have the opportunity to provide a good quality housing mix of all types and tenures in sustainable locations.

Preferred Option CS8: New Housing Provision

In the short term, new housing provision will be primarily delivered through already identified available, suitable and achievable housing sites within the urban area, including deliverable:

Housing Provision Type	Approximate Dwelling Provision
Extant residential planning permissions	1,250
Brownfield sites that have been identified for residential use	1,150
Approximate Total	2,400

Thereafter, the South West Extension first and then other new housing sites, identified below and on Key Diagram 1 will be brought forward, and developed in strict accordance with the criteria set out below:

	New Housing Site	Maximum Dwellings per Hectare	Maximum Dwelling Provision
South West Extension	Claxton	21	1,500
	Eaglesfield	28	650
	Owton Grange	28	250
North West Extension	Upper Warren	20	150
	Quarry Farm	10	50
	Tunstall Farm	8	60
Wynyard Extension	Wynyard Woods West	6	100
	Pentagon	10	165
	Forest West	7	20
	Forest East	7	15
Village Extensions	Elwick	10	25
	Hart	10	15
	Total		3,000

New housing provision will be phased and delivered over the next 15 years as summarised in the trajectory below, working towards meeting the overall brownfield development target of 40%:

Years	Gross Annual Additional Dwellings	Estimated Annual Demolitions	Net Annual Additional Dwellings	Brownfield Development Target
2011 – 2016	325	-40	285	70%
2016 – 2021	370	-40	330	30%
2021 – 2026	385	-40	345	15%

Housing Mix

- 10.34 Balancing the supply and demand of housing to meet local aspirations is a key element of the Sustainable Community Strategy and the Housing Strategy in Hartlepool and is central to government policy in Planning Policy Statement 3 (PPS3) which highlights the need to provide a variety of housing in terms of tenure, price and mix of different households to develop sustainable communities.

National Planning Policy Statement 3 Housing (2006)

- 10.35 PPS3 sets out the national planning policy framework for delivering the Government's housing objectives with regard to new housing provision.
- 10.36 Using guidance established in paragraphs 20 to 22 in PPS3 the Borough Council has taken into consideration current and future demographic trends and profiles and the accommodation requirements of specific groups including families, elderly persons and disabled persons.
- 10.37 There are several sources of information that make up the evidence on current and future housing need. Analysing this evidence enables the Borough Council to reach a future requirement framework of housing mix on all new developments.

Hartlepool Strategic Housing Market Assessment (SHMA) (2007)

- 10.38 The SHMA, completed in 2007, made the following observations:
- Market demand exceeds supply in most areas, with balanced provision most evident in the Fens, Greatham, Hart, Seaton and Throston wards.
 - Given the potential scale of new build, new flat type development will easily offset the shortfalls evidenced and excess supply could result in under-occupation and market distortions.
 - There are some pressures with demand exceeding supply, for instance for detached properties in wards including Brus, Foggy Furze and Owton; and for semi-detached properties in St. Hilda, Stranton and Dyke House wards and bungalows across the Borough.
 - The demand for private rented accommodation is strong in many wards and given the restricted supply of social rented accommodation, the private rented sector is becoming an important provider of accommodation.
 - 4.7% dwelling vacancy rate in the Borough.

Tees Valley Strategic Housing Market Assessment (TVSHMA) (2009)

- 10.39 The TVSHMA, completed in 2009, supported the housing need already identified in the Hartlepool SHMA and made further observations on the Tees Valley scale:
- That there needs to be a diversity of housing available for existing households, newly-forming households and in-migrants.
 - Despite general market uplift, data still identifies weaker terraced housing markets in many areas of Tees Valley, including Hartlepool.
 - The need to diversify the housing market offer to attract in-migrants is clearly evidenced, with a demand for larger houses particularly noted.
 - The need and demand for executive housing was highlighted in the Tees Valley. Consultation with developers identified "pockets to the west of Hartlepool" as appropriate locations for new executive housing

Continuing Monitoring (Ongoing)

- 10.40 The Borough Council monitors housing planning permissions, starts and completions and as a result has an accurate picture of the future housing supply at any given time. The following information is pertinent to the issue of current and future housing mix:
- There are in excess of 1,400 extant planning permissions that are assessed as being deliverable, nearly 50% are for flats, mainly located at the Marina.

- Of the deliverable planning permissions in the Borough only 2% are for bungalows.

10.41 Table 10 below illustrates the current housing stock mix in the Borough.

Table 10: Housing Stock Mix in the Borough

House Type	Housing Stock (2007)	Housing Stock % (2007)
Detached House	5,616	14.3%
Semi Detached House	11,506	29.3%
Terraced House	14,530	37%
Bungalow	3,495	8.9%
Flat	3,848	9.8%
Other	275	0.7%

10.42 Table 10 shows that there is a comparative oversupply of terraced houses and a relative undersupply of bungalows in the Borough compared to the other house types. The current extant planning permissions are heavily weighted in the provision of flats, and there is, again, an under provision of bungalows.

10.43 Both SHMA's identified that there is a substantial under-representation of executive housing in the housing stock in the Borough. It is estimated that less than 4% of the housing stock in the Borough can be classified as being executive in nature. The *Executive Housing Need* document, that is part of the LDF evidence base details the sub-regional and local need for executive housing and should read alongside this document.

10.44 As directed by the evidence of need in the Hartlepool and Tees Valley SHMA's the current commitments do not exclusively provide an appropriate housing mix to meet the needs of the Borough. Any future strategic housing provision must have an

Consultation feedback on Preferred Options (January 2010)

10.45 The preferred option proposed a housing mix in the future that reflected the current and future housing need. There was specific regard given to ensuring new residential development would deliver family homes, bungalows and elderly persons accommodation. Further to this there was a presumption against apartments being part of new residential developments due to the current over-supply. There was general support for the approach taken in the preferred option.

Sustainability Appraisal on Preferred Options (January 2010)

10.46 The Sustainability Appraisal of the proposed preferred option stated that it would have the potential to achieve strong economic and social benefits, in the short term and particularly in the medium to long term as new housing is developed. Environmentally the benefits are minimal and overall there would be a potential marginal negative impact with particular regard to CO2 emissions, waste generation, energy efficiency, use of natural resources, and climate change. No change was proposed to the option.

Overall justification in selecting the Preferred Option

10.47 The Borough Council's Preferred Option is to create sustainable residential communities, throughout the Borough by providing a mix and balance of good quality housing of all types in line with the evidence from the SHMAs and ongoing monitoring.

- 10.48 The preferred option will ensure that the new housing sites identified in preferred option CS8 meet the existing and future housing need and demand over the next 15 years. To do this the preferred option will seek to reduce the future supply of apartments, increase the provision of family homes, bungalows, elderly persons accommodation and executive houses in the Borough.

Preferred Option CS9: Overall Housing Mix

All new housing and/or the redevelopment of existing housing areas will be required to contribute to achieving an overall balanced housing stock that meets local needs and aspirations, both now and in the future. Proposals that do not reflect this need will not be permitted.

Given the current oversupply of apartments, there will be a general presumption against the development of further apartments, unless they cater for a specific identified need and/or help support regeneration objectives.

New housing provision identified in Preferred Option CS8, below and on Key Diagram 1 will be required to provide a suitable range and mix of house types which are appropriate to their locations and local needs as follows:

	New Housing Site	House Type Required
South West Extension	Claxton	Full range of house types; specifically family homes, bungalows and elderly persons accommodation
	Eaglesfield	
	Owton Grange	
North West Extension	Upper Warren	Executive Housing
	Quarry Farm	
	Tunstall Farm	
Wynyard Extension	Wynyard Woods West	
	Pentagon	
	Forest West	
Village Extensions	Forest East	
	Elwick	Full range of house types
	Hart	

On all new housing developments housing type and mix will be negotiated with developers using up-to-date evidence of housing needs and aspirations.

Specific site requirements will be detailed in additional SPDs and/or masterplans.

Affordable Housing

Introduction

- 10.49 Affordable housing is housing designed for those whose income generally denies them the opportunity to purchase houses on the open market. Affordable housing is either outright Socially Rented or Intermediate Tenure housing in the form of Shared Ownership or Shared Equity schemes whereby the affordable units are retained and managed in the long term. Affordable houses are generally owned and managed by Registered Social Landlords.
- 10.50 Affordable housing can be delivered either as a 100% affordable development or as part of a private market housing development, where a smaller percentage of the overall dwellings are affordable in tenure and the majority are private.
- 10.51 In the future it may be difficult to secure grant funding for subsidised 100% affordable housing and as a result other mechanisms need to be utilised to secure ongoing affordable housing provision. Securing affordable housing as part of private residential developments provides perhaps the most realistic way of securing new affordable housing developments in the future.

Planning Policy Statement 3: Housing (2006)

- 10.52 PPS3 sets out the national planning policy framework for delivering the Government's housing objectives with regard to new housing provision.
- 10.53 Using guidance established in paragraphs 21, 21, 22, 27, 29 and 30 in PPS3 the Borough Council has drawn together various sources of evidence to establish an affordable housing target, what type and tenure of affordable housing is required, when it will be required and how it will be managed in the future.
- 10.54 PPS3 states that a minimum site size threshold of 15 dwellings. There is no local evidence to suggest that a lower or greater threshold should be set, therefore the minimum threshold of 15 dwellings is appropriate.
- 10.55 Sub-regional and local evidence, specifically in the Strategic Housing Market Assessments are used to set the framework for securing future affordable housing delivery. PPS3 states that a minimum site size threshold of 15 dwellings. There is no local evidence to suggest that a lower or greater threshold should be set, therefore the minimum threshold of 15 dwellings is appropriate. Other than the threshold mechanism, the remaining evidence is all sub-regional or locally derived.

Tees Valley Strategic Housing Market Assessment 2008 (TVSHMA)

- 10.56 The assessment supported the affordable housing need identified within the Hartlepool SHMA. In addition to this it suggested a 20% affordable housing requirement for housing developments across the Tees Valley. This 20% figure was viewed as achievable and reasonable figure to expect private developers to contribute to, based on a comparison of sensible affordable housing policies in place across the North East of England and local needs within the Tees Valley.

Hartlepool Strategic Housing Market Assessment 2007 (SHMA)

- 10.57 An analysis of the current and future housing markets concluded that market demand was exceeding supply in most areas and that a degree of pressure in the current housing market was a result of considerable uplift in house prices across the Borough over the past five years. A shortfall of affordable units was identified, this affordable need was heightened by the limited capacity of the social rented sector with low vacancy rates and long waiting lists.
- 10.58 The report suggested a target for affordable housing on new developments of 30% of which 80% should be social rented and 20% intermediate tenure.

Hartlepool Affordable Housing Economic Viability Assessment (2009)

- 10.59 Evidence shows that there is affordable need and that 30% of new dwellings should be affordable to help remedy the need. The Borough Council appreciates that providing an element of affordable

housing as part of private development negatively affects the economic viability of schemes. Bearing this in mind it is crucial that affordable housing is provided at a level that is economically viable to the parent private development. As a consequence, the Borough Council commissioned an Affordable Housing Economic Viability Assessment.

- 10.60 The results of the economic viability assessment show that in current market conditions, the development of residential property is generally economically unviable, regardless of affordable housing.
- 10.61 The results suggest that any policy put in place will need to be flexible and perhaps have built in trigger points or similar mechanisms which enable more affordable housing to be delivered as market conditions improve.
- 10.62 The assessment states that setting a policy at 0% based on the results of the baseline analysis is unsustainable across the course of the plan period and will not meet the identified housing need of people across the Borough. In order to ensure that any future developments are viable and not stifled by an onerous affordable housing requirement, the policy should be flexible enough to have regard to prevailing market conditions. This method will allow both for the maximisation of affordable housing on site and the viability of schemes aiding delivery in the long term.
- 10.63 The assessment shows that on the sites assessed, in certain market conditions, schemes including 10% affordable housing are viable. It is the aim of the Local Authority to maximise the number of affordable homes delivered across the borough, regardless of market conditions. Therefore a policy which builds in both some certainty for landowners and developers and flexibility to account for differing market conditions and allows for the establishment of viability on a scheme by scheme basis would seem to be the best way of meeting this role.

Consultation feedback on Affordable Housing Preferred Options (2009)

- 10.64 The Affordable Housing Preferred Options report was prepared in October 2009 in a separate consultation process previous to, and independent to, the Core Strategy Preferred Options. It was decided that in order to ensure best practice, the Affordable Housing Preferred Options and the Core Strategy Preferred Options would be brought together in a single strategic housing policy framework.
- 10.65 The 2009 Affordable Housing Preferred Options report proposed the following options which were consulted upon:
- On developments of 15 dwellings or more an affordable housing contribution would be required.
 - A minimum target of 10% will be delivered on all sites and negotiated up where there was a greater need and/or schemes were more economically viable.
 - Affordable housing should be delivered primarily on-site, with off-site provision acceptable in exceptional circumstances.
 - Of the affordable housing provision 80% would social rented and 20% intermediate tenure.
 - Affordable housing will be delivered in partnership with a Registered Social Landlord by means of a Section 106 Legal Agreement, with appropriate provision to secure long term availability.
- 10.66 The consultation process raised no specific concerns with regard to the preferred options and therefore these have been transferred with minor amendments to the subsequent preferred option proposed.

Sustainability Appraisal on Affordable Housing Preferred Options (2009)

- 10.67 The main findings of the Sustainability Appraisal relating to the preferred options were that setting a flexible target will help ensure some affordable housing provision, it is more sustainable to secure affordable housing on site as off-site provision or a commuted sum may result in delayed provision and involving an RSL in the ongoing management of new affordable housing and securing them over a long term is the most sustainable approach. There were no changes proposed with any of the preferred options.

Overall justification in selecting the Preferred Option

- 10.68 The Borough Council's Preferred Option is to improve existing and create new sustainable residential communities throughout the Borough. Affordable housing is an integral part of a sustainable residential community. Securing affordable housing as part of economically viable private residential developments provides perhaps the most realistic way of securing new affordable housing developments in the future.
- 10.69 Therefore the preferred option seeks on all residential developments of 15 dwellings a minimum of 10% affordable housing, primarily delivered on sites and be pepperpotted and be provided as 80% social rented and 20% intermediate tenure and ensures that units are delivered through a Registered Provider.

Preferred Option CS10: Affordable Housing

Affordable housing will be required on all planning applications for residential development that consist of a gross addition of 15 dwellings or more, including renewal of lapsed unimplemented planning permissions, changes of use and conversions.

A minimum affordable housing target of 10% will be delivered on all sites. Higher percentages of affordable housing will be subject to negotiation on a site-by-site basis where there is an identified local need and/or the economic viability of schemes allows for a greater provision.

It is expected that affordable housing will be delivered through on-site provision and where appropriate be pepperpotted. However in certain circumstances it will be acceptable for provision to be made off-site, where:

- Applicants can provide sound, robust evidence why the affordable housing cannot be incorporated on-site, and/or**
- The Borough Council is satisfied that off site provision or a commuted sum will benefit the wider housing regeneration agenda in the Borough.**

Applicants will be expected to achieve a target of 80% social rented and 20% intermediate tenure mix on each site. Housing type and tenure split will be negotiated on a site-by-site basis, having regard to the most up-to-date evidence of need, mix of tenures of existing housing nearby, the desire to create balanced communities and the constraints and requirements of providing on-site provision.

Unless in exceptional circumstances all affordable units will be delivered in partnership with a Registered Provider by means of a Legal Agreement, and appropriate provision to secure long term availability.

11. STRENGTHENING THE LOCAL ECONOMY

Employment

- 11.1 Hartlepool Borough Council is committed to supporting the growth of its local economy to improve the prosperity and sustainability of the town and to provide jobs for local people.
- 11.2 Specific objectives seek to attract investment, improve global competitiveness, support the development of local enterprises and entrepreneurs and create more employment opportunities for local people.
- 11.3 Significant strides have been made over the last 15 years towards diversifying the town's economic base particularly through the development of the marina, and growth in tourism related activities, finance and business services, public administration/other services and to a lesser extent distribution, warehousing and hotels. The development of a business incubation strategy has also facilitated a growth in new and indigenous businesses. Over this period there has been a reduction in reliance on the manufacturing sector from 29.6% in 1996 to 15.3% by 2008 (ONS).
- 11.4 A key aim of local policy is to increase levels of economic growth by increasing business start-up rates and the business stock; attracting more high value businesses and moving existing businesses up the value chain. Within Hartlepool, increasing value is being pursued through the development of knowledge driven businesses, cultural industries and the electronic economy.
- 11.5 Recent government decisions aimed at reducing reliance on the public sector and increasing private sector employment together with emerging opportunities for major investment in the offshore wind, renewable energy and renewables/ eco-industries sector will impact further on the structure of the town's economy and associated land requirements. The identification by government of Hartlepool as one of 8 potentially suitable sites for a new nuclear power station will also require reservation of land for this purpose.
- 11.6 Hartlepool has a diverse range of employment land incorporating sites of varying quality and size enabling the accommodation of a broad range of investment opportunities. The town's employment land is located primarily to the south of the town centre. These include the prestige employment site at Wynyard Business Park, higher quality sites at Queen's Meadow and North Burn and a cluster of general employment business parks, industrial estates and specialist industrial zones including chemicals and the nuclear power station within the area known as the Southern Business Zone (SBZ). To the north of the town centre is Victoria Harbour which forms part of the port estate and Oakesway Business Park.
- 11.7 The following Planning Policy Statements (PPSs), regional and local guidance are relevant to employment development.
- Planning Policy Statement 1: Delivering Sustainable Development (2005)
- 11.8 PPS1 highlights the government's commitment to promoting a strong, stable and productive economy that aims to bring jobs and prosperity for all. Planning authorities are advised to ensure that suitable locations are available for industrial, commercial, retail, public sector (e.g. health and education) tourism and leisure developments, so that the economy can prosper. Moreover the guidance recommends that local authorities recognise the wider sub-regional, regional or national benefits of economic development alongside any adverse local impacts and that all local economies are subject to change and they should be sensitive to these changes and the implications for development and growth.
- Planning Policy Statement 4: Planning for Sustainable Economic Growth (2009)
- 11.9 PPS4 defines economic development to include development within the B Use Class of The Town and Country Planning (Use Classes) Order 1987 (as amended). These are:

- B1(a) - Offices other than financial services, B1(b) - Research and development of products or processes, and B1(c) Light Industry;
- B2 - General Industry; and
- B8 - Storage & Distribution.

- 11.10 PPS4 suggests that at local level, the evidence base should assess the existing and future supply of land available for economic development, ensuring that existing site allocations for economic development are re-assessed against the policies in PPS4, particularly if they are for single or restricted uses. Local Authorities are advised to review land available for economic development at the same time as, or combined with, strategic housing land availability assessments.

Planning Policy Statement 10: Planning for Sustainable Waste Management (2005)

- 11.11 If it is considered practical, local planning authorities are advised to identify new or enhanced waste management facility sites within their Development Plan Documents. PPS10 suggests that a broad range of locations, including industrial sites, should be investigated along with opportunities to co-locate facilities together and with complementary activities. Most waste management activities are now suitable for industrial locations and many fall within the B2 general industrial use class. It is therefore necessary to bear in mind the implications of potential de-allocations of industrial land for such uses and the effect of the loss of industrial land upon the future provision of waste management facilities.

Draft National Policy Statements: Planning for New Energy Infrastructure (2010)

- 11.12 The government expects over half the new energy generating capacity built in the UK by 2025 to come from renewable sources. These National Policy Statements will be used by the Infrastructure Planning Commission when it makes decisions on applications for development consent for nationally significant energy infrastructure. The draft statements confirm Hartlepool as one of the eight sites in England and Wales that are potentially suitable for new nuclear power stations.

North and South Tees Industrial Development Framework (2009)

- 11.13 The North and South Tees Industrial Development Framework Project was commissioned by the Tees Valley Unlimited (TVU) and its partners in December 2008. The study area, which includes some 9,000 hectares of land, is dominated by the lower reaches of the River Tees estuary. Areas of southern Hartlepool including parts of the Southern Business Zone are included in the study. The most important elements of the framework are summarised below:

- There are enormous opportunities for the area to benefit from investment within the bulk chemicals, waste, energy, steel and advanced engineering sectors. In addition, the capture, transmission and storage of carbon dioxide from existing and future operations present both a means of managing emissions and a 'unique selling point' for the area.
- The adopted strategy must protect and support existing manufacturing operations in addition to delivering investment in technologies of the future in the priority sectors above. Without the support for existing operations, future investment opportunities may be lost.
- A team to lead the development and delivery of the strategy is required. Intense and sustained efforts to promote the area, attract target sectors and overcome constraints are the critical functions of the team.
- The needs of future strategic projects such as improvement of physical infrastructure and services provision must be designed and delivered to help attract the sectors identified in (1) above.
- Opportunities for private sector investment are inherently linked to effective public sector intervention as described in sections 1-4 above. The chances of continued industrial success for North South Tees will be greatly increased by immediate and simultaneous implementation of the proposals stated in 1-4 above. This will involve a new level of cooperation between all parts of the public and private sectors.

Tees Valley Minerals & Waste Core Strategy Submission Draft (2010)

- 11.14 The Joint Tees Valley Minerals and Waste Core Strategy and Site Allocations Development Plan Documents sets out strategic and detailed policies for meeting known and anticipated waste management requirements, provides policies to ensure the efficient use of resources and will assist individual householders to contribute to the recovery and recycling of waste. The DPD demonstrates that the existing sites are currently adequate to meet the area's landfill needs over the plan period. It further recommends that all waste facilities are to be located in the Graythorp area within the Southern Business Zone.

Employment Land Review (ELR) (2009)

- 11.15 The Employment Land Review (ELR), business start-up rates in Hartlepool are significantly higher than the regional average, leading to an expanding business base. This must be planned for through this Core Strategy DPD, which amongst other things will seek to address an appropriate provision of employment land and premises in the Borough.
- 11.16 The ELR indicates that there is an oversupply of industrial premises within Hartlepool and concludes that there is a potential over-supply of employment land across the Borough. The ELR recommended that the following sites (totalling 46.37 hectares) be de-allocated:
- Parts of Oakesway
 - Mixed use regeneration site at the Headland (adjacent to the Manor House)
 - East of Stranton (Anchor Mills)
 - Parts of Tees Bay Retail Park
 - Brenda Road East, Southern Part
 - Golden Flatts
 - Parts of Graythorp
 - Century Park (Former RHM Site)
- 11.17 The ELR emphasises the need for the renewal of the Borough's older industrial stock, which would see large redundant factories replaced with new, smaller, units. Values are insufficient to facilitate viable development and the public sector will therefore need to ensure a sufficient supply of clean, serviced sites to meet the requirements of the market.
- 11.18 The market for office premises within the Borough is concentrated in the Town Centre and at the Marina. Levels of new development are low. Subsidy is still required to deliver such schemes and can be achieved through gap funding or the development of mixed-use schemes to cross subsidise the office component. The regionally significant Wynyard site provides substantial capacity for further office development in Hartlepool.

Southern Business Zone Study (2008)

- 11.19 The study identified the area's key strengths, weaknesses, opportunities and threats and developed a programme of interventions in order to improve the economic performance of the Borough. The study identifies the following vision for the Southern Business Zone:
- 'To become a driver of success for the sub-region, ensuring that the SBZ captures recognised opportunities for growth for the benefit of local people, business and the environment.'*
- 11.20 The study highlights a range of issues that need addressing within the SBZ including a poor quality physical environment; a lack of modern, high quality business premises; the skills levels of local residents and issues relating to business crime. The SBZ study made the following observations:
- The SBZ local economy is made up of relatively traditional industrial sectors with very few businesses found in the service sectors.
 - Companies found in the SBZ have been located in the zone for a relatively long period of time with 13% being located there for more than 21 years.
 - Six out of ten companies in the SBZ employ less than ten people.
 - The SBZ business community are relatively confident about future levels of growth with many seeing their company expanding in the next five years.

- Larger companies are more confident about their future than their smaller counterparts in terms of turnover, employee numbers and profit levels.
- 13% of the SBZ business community want to relocate from their present premises but none wish to move out of Hartlepool.
- Key barriers to growth for companies in the SBZ relate to the size and configuration of their premises as well as a lack of labour with the right skills, growing costs and increased competition.

11.21 Following the above observations, the SBZ work developed an Action Plan designed to address the above observations and to improve the economic performance of Hartlepool. The Action Plan is structured under the following 3 headings:

1. **People:** focuses upon the need to up skill the local labour force so that they are well positioned to benefit from the anticipated economic growth. Improving the skills of the local workforce will also help to ensure that one of the main barriers to the growth of local businesses can be overcome
2. **Business:** driven by the need to support existing businesses and encourage them to stay, grow and prosper within the SBZ. Projects under this theme are aimed at enhancing business support for key growth sectors, removing key constraints to business growth and maximising supply chain opportunities; and
3. **Place:** focuses upon enhancing the physical environment to benefit local businesses and attract new investment. Projects under this theme are designed to create a more attractive, high profile, better connected business location, with public sector investment used to improve infrastructure, signage, landscaping and the public realm.

Local Economic Impact Scenarios Arising from Decommissioning and Potential New Build of Hartlepool Nuclear Power Station (2000)

11.22 The report was commissioned by Hartlepool Borough Council, Tees Valley Regeneration and the Hartlepool Economic Forum to undertake a socio-economic assessment that investigates analyses and quantifies the impact associated with plausible scenarios for Hartlepool Nuclear Power Station in terms of generation, decommissioning and potential new build.

11.23 Hartlepool Power Station is due to close in 2014 at which point electricity generation will cease and decommissioning preparations commence. There is a high probability that the life of the station will be extended to 2024. With regard to decommissioning, the report highlighted that:

- The process would cost approximately £1.1 billion in total, require approximately 320 staff for defuel and initial site clearance.
- Safestore will require approximately 20 staff members and be followed by a "Safestore" period for at least 85 years to enable radioactive decay prior to dismantling along with full and final site clearance (around 2100) and will result in the land being available for other use in approximately 2117.

11.24 The report stated that a new nuclear power station would:

- Employ approximately 450 people over 70 years.
- During construction, require up to 3,000 staff (minimum 1,500) over a 5-year construction period that could result in a wage bill of £75m per year.
- Government aspirations indicate construction commencing in 2013-2014 with the first reactors going online 5 to 6 years after this;

11.25 Of the scenarios considered for the Hartlepool site, economic benefits to the region would be greatest if power generation were extended and this combined with new nuclear build.

Hartlepool Central Investment Framework (2008)

11.26 The purpose of the study was to identify key regeneration priorities for the Hartlepool Central Area and to set out a programme for their implementation.

The report identifies a number of key gaps in the study area's asset base including a shortage of high quality office floorspace and the absence of a distinct 'quarter' to target and support the development of new businesses in high value-added, niche sectors.

The study acknowledges the work underway in the Southern Business Zone and proposals for development at Victoria Harbour. Within this context, it recognises the need to differentiate the Central Area's offer by focussing on smaller start-up businesses and industries such as digital and media, as well as niche service sector firms.

A range of suggested projects and interventions are set out that respond to the issues and opportunities identified by the report.

Consultation feedback on Preferred Options (January 2010)

11.27 The consultation on the previous Preferred Options report raised the following issues:

- There is general concern that potential alternative uses for Wynyard and North Burn would require major investment to upgrade facilities but the sites, especially Wynyard should be reserved for prestigious employment facilities
- There is need to address bad neighbour uses, waste and landfill issues in the long term by implementing an exclusion zone in the waste policy.
- Sovereign Park should be retained as an employment location as established by the Employment Land Review
- Land at North Burn should not be specifically allocated for electronics components park since there has been no past take-up at all and there is no foreseeable future demand for electronics in the market demand
- There is need for further clarification on the proposed Eco-Industries within the Graythorp area as shown on the Proposals Map.
- A new nuclear power station will provide employment opportunities and this will help address the problem of worklessness in the Borough. However, de-commissioning the existing one will require close scrutiny including appropriate assessment since the site is adjacent to a wildlife area. Compensatory measures can and must be secured where environmental impacts cannot be avoided.
- Provision of employment land should be in areas where there are safe and convenient modes of sustainable transport.
- Following the employment land assessment the council should consider the potential to de-allocate or re-allocate sites no longer required for employment use. The Council could allocate the surplus employment land to the green infrastructure network.
- It is important that the supply of employment land provides an adequate choice of sites for investors, in terms of size; quality; and location. There is a particular need for smaller units at Oakesway and other potential sites to provide modern accommodation for business start ups.
- There is general lack of more hi-tech starter units in the Borough.

Sustainability Appraisal Preferred Options (January 2010)

11.28 The Sustainability Appraisal (SA) main findings relating to the proposed employment issues and options were:

- Making existing employment land more attractive for investment has strong economic linkages and benefits. It also has environmental benefits to the actual areas and creates an improved image of the town to inward investors. This also results in more efficient use of current resources. There are marginal social benefits mainly due to tackling worklessness to promote social inclusion.
- Reducing the overall amount of employment land could have benefits both for the remaining employment areas and also for other alternative uses. However, there is need to audit employment land to assess suitability of sites for employment or for alternative uses.
- Continuing to use North Burn and Wynyard for employment use (B1, B2, and B8) is recommended since the sites could be linked to the A19 and A1. Wynyard, in particular is of notable strategic importance and is set to attract major high-class investment into the area resulting in economic growth. It is however important to note that both sites are in unsustainable locations given the physical separation from the main urban area/settlements (except from Wynyard residential settlement). Also important to note is that the sites are currently Greenfield and outside the limits to development, therefore employment use is likely to lead to loss of the countryside and detrimental effects upon the natural environment in terms of views and vistas, waste generation and use of natural resources.

Justification in selecting the Preferred Options

- 11.29 The Core Strategy will need to provide adequate employment land at the right locations in order to promote a diverse, strong, stable and productive economy that aims to bring jobs and prosperity for all.
- 11.30 The changes in the economic structure of Hartlepool have implications for the type and location of employment land required by businesses. According to the Employment Land Review Study (2008), the recent growth in finance and public administration is likely to generate greater demand for B1 office accommodation, whilst the increase in distribution, warehousing and hotels could be anticipated to increase demand for B8 premises with good accessibility.
- 11.31 A further key aim of local policy is to increase levels of economic growth by increasing business start-up rates and the business stock; attracting more high value businesses and moving existing businesses up the value chain. Within Hartlepool, increasing value is to be pursued through the development of knowledge driven businesses, cultural industries and the electronic economy. Strategic sites such as Wynyard and Queens Meadow will underpin future economic growth in the Borough through the provision of modern, high quality business premises.
- 11.32 On a smaller scale support for the development of the town centre Innovation and Skills Quarter in association with the local further and higher education establishments will provide an important means of supporting development and growth in new businesses whilst at the same time helping to reinforce the town centre economy.
- 11.33 According to the current Local Plan (April 2006), employment land in Hartlepool can generally be categorised as follows:
- Sub-regionally important greenfield Key Employment Location close to the A19 corridor (Wynyard Business Park and North Burn).
 - A high quality site within the town at Queens Meadow Business Park.
 - Mixed use regeneration sites (Marina / Victoria Harbour)
 - General industrial sites within the Southern Business Zone.
 - Sites retained for port and port-related uses (part Victoria Harbour and North Seaton Channel).
 - A site for potentially polluting and hazardous industry (North Graythorp).
- 11.34 Reflecting the need to provide a diverse range of employment land, the Preferred Options have identified the following categories and locations of employment land, which are also illustrated on plan a overleaf:
- Prestige Employment Sites close to the A19 corridor (Wynyard Business Park).
 - Higher Quality Business Parks (Northburn and Queens Meadow)
 - Sites retained for specialist port-related uses (Victoria Harbour and North of Seaton Channel)
 - General Industrial and Business Sites within the Southern Business Zone (south of the Town and Oakesway (north of the town).
 - Specialist heavy industrial sites retained for chemical and potentially polluting & hazardous industry.
 - Safeguarded site for a potential new nuclear power station.
- 11.35 The Preferred Options reflect the recommendations of the Employment Land Review (2008) to de-allocate some employment land for other uses. In particular, the industrial sites at Golden Flatts, Century Park (Former RHM Site) and Brenda Road east (southern part) constituting a total area of approximately 38 hectares have been de-allocated. Although parts of Oakesway have been recommended for de-allocation, the Preferred Option is to maintain all of Oakesway as employment land due to potential interest in developing the site.

- 11.36 Wynyard Business Park offers a prime location and quality of existing development which is of sub-regional significance. It has a track record of attracting major high quality investment into the region including high performing national and international firms. Although separated from the main urban core of Hartlepool in a location that may be considered as not one of the most sustainable, the economic benefits associated with job creation, attracting wealthy executives, the investment opportunities and location close to the A1 and A19 trunk roads justify its inclusion as a Prestige Employment Location in which development of a high quality Business Park with high standards of design will be required. The current planning permission for Wynyard comprises B1 plots along the A689, B2 and B8 plots north of Wynyard.
- 11.37 Land at North Burn is allocated in the 2006 Local Plan as an electronics components park and was identified alongside Wynyard Business Park as a Key Employment Location in the Regional Spatial Strategy. Although the RSS is no longer relevant, the retention of this site as a higher quality business park to provide for some of the new and emerging opportunities such as high value supply chain businesses related to offshore wind development, distribution and warehousing, provided they are of a suitable quality of design, would be advantageous.
- 11.38 Although there has been notable growth in other employment sectors, the Borough still needs to diversify its economy further in order to attract more investment and to raise its economy profile further. In this respect, the Borough stands to benefit from encouraging investment in the expanding "Eco-Industries sector". The Environmental Goods and Services Industry – Manual for Data Collection and Analysis" (OECD/Eurostat, 1999) defines eco-industries as:
- "Activities which produce goods and services to measure, prevent, limit, minimise or correct environmental damage to water, air and soil, as well as problems related to waste, noise and eco-systems. This includes cleaner technologies, products and services that reduce environmental risk and minimise pollution and resource use"*
- 11.39 Table 11 shows examples of the main eco-industry domains of which waste recovery and recycling offer particularly good prospects for future employment growth. According to a report by ECOTEC Research and Consulting Limited (2002), employment levels in the UK and the wider EU Community are expanding in the waste management sector.

Table 11: Examples of Environmental Domains comprising the Eco-industries Market

Eco-industry group	Environmental Domain (Sub-Sector)
Pollution Management	Air Pollution Control Waste Water Treatment Solid Waste Management Remediation & Clean Up of Soil & Groundwater Noise and Vibration Control Environmental Monitoring & Instrumentation Environmental Research & Development Public Environmental Administration Private Environmental Management Resources Management Water Supply
Resources Management	Water Supply Recycled Materials Nature Protection

Source: ECOTEC Report on the Analysis of the EU Eco-Industries (2002)

- 11.40 The Council will encourage diversification of the economy through encouraging development of eco-industries within the wider Graythorp area in the Southern Business Zone as recommended in the Tees Valley Minerals & Waste Core Strategy DPD. This reflects the requirements of PPS10 which advises Local Planning Authorities to identify new or enhanced waste management facility sites within their Development Plan Documents. The eco-industries sector constitutes different types of complementary facilities as shown in Table 11, hence their promotion through this DPD is justified.
- 11.41 Other areas of economic growth are likely to result from the availability of land within the port area around Victoria Harbour where there is approximately 75 ha of land with easy access from land and sea. The site offers major opportunities for the development of infrastructure associated with offshore wind and sustainable energy development which could result in job creation on a large scale. The Borough has been nominated as one of the eight sites in England and Wales that are potentially suitable for a Nuclear Power station. This will provide economic benefits not only to Hartlepool but to the north east region as a whole. The government acknowledges the contribution nuclear power can make to increased security of energy supplies and reduced carbon emissions. The Council will safeguard land for the new Nuclear Power Station until a final decision by the government has been made.
- 11.42 The Borough Council will address bad neighbour uses and waste issues in the long term by implementing an exclusion zone in the waste policy. The exclusion zone will be a pre-determined distance from the waste site location to all surrounding residential areas which will be used to decide whether development proposals will be permitted or not. This preferred option reflects the requirements of PPS22, which advises that proposals that create odour or pollution problems should not be located near residential areas.
- 11.43 Intervention measures such as environmental improvements, promotion of public art, high standards of design and landscaping will be taken to make existing employment land more attractive by provision of modern, high quality business premises and good transport links throughout the Borough.

The proposed categories of employment land are shown in Plan as follows:

- Prestige Employment Sites close to the A19 corridor (Wynyard Business Park).
- Higher Quality Business Parks (Northburn and Queens Meadow)
- Sites retained for specialist port-related uses (Victoria Harbour and North of Seaton Channel)
- General Industrial and Business Sites within the Southern Business Zone (South of the Town) and Oakesway (North of the town).
- Specialist heavy industrial sites retained for chemical and potentially polluting & hazardous industry.
- Safeguarded site for a potential new nuclear power station

Diagram 2: Employment Locations



PREFERRED OPTION CS11: PRESTIGE EMPLOYMENT SITE WYNYARD BUSINESS PARK

Land at Wynyard (identified on diagram 2) will be safeguarded for development as a Prestige Business Park.

Subject to compliance with policies CS1, CS2, CS3, CS4 and CS24, proposals for business development (falling within class B1 of the town and country planning (Use Classes) Order 1987 as amended) will be permitted in the Wynyard Business Park provided that:

- 1) the buildings are of an exceptionally high quality design standard
- 2) high quality landscaping and/or woodland planting are provided as appropriate to the surrounding natural environment,
- 3) there is no more than a 25% coverage of each developable site by buildings,
- 4) car parking areas are landscaped and any outside storage is well sited and screened.

Proposals for general industrial development and warehousing (falling within classes B2 and B8 of The Town and Country Planning (Use Classes) Order 1987 as amended) may also be allowed where they meet the above criteria and provided:

- They are not on the A689 frontage. The frontage on the A689 at Wynyard is of critical design importance for this prestigious site and will be exclusively reserved for B1 uses only.
- They do not have a significant detrimental effect on the amenities of the occupiers of adjoining or nearby properties
- They do not prejudice the development of adjacent sites.

In this respect, planning conditions may be imposed to restrict general industrial

PREFERRED OPTION CS12: HIGHER QUALITY EMPLOYMENT SITES

The following sites are reserved for Higher Quality Employment development

- a. Queens Meadow Business Park
- b. North Burn

a. Queens Meadow Business Park

Subject to compliance with policies CS1, CS2, CS3, CS4 and CS24, proposals for business development (falling within class B1 of the Town and Country Planning (Use Classes) Order 1987 as amended) will be permitted in the Queens Meadow Business Park provided that:

- 1) The buildings are of a high design standard
- 2) There is no more than 30% coverage of each developable site by buildings,
- 3) Substantial high quality landscaping and woodland planting are provided, particularly on the main road frontages and along the boundary closest to Greatham village,
- 4) Car parking areas are landscaped and outside storage is adequately sited and screened.

Proposals for general industrial development and warehousing (falling within classes B2 and B8 of The Town and Country Planning (Use Classes) 1987 Order as amended) will only be allowed on sites away from the A689 and Greatham Village frontages where they meet the above criteria and do not have a significant detrimental effect on the amenities of the occupiers of adjoining or nearby properties or prejudice the development of adjoining sites.

In this respect, planning conditions may be imposed to restrict general industrial developments to appropriate operations within the B2 use class.

b. North Burn

Subject to compliance with policies CS1, CS2, CS3, CS4, and CS24 proposals for business development (falling within class B1 of the Town and Country Planning (Use Classes) Order 1987 as amended) will be permitted at North Burn provided that :

- 1) The buildings are of a high design standard
- 2) There is no more than 30% coverage of each plot by buildings,
- 3) Substantial high quality landscaping and woodland planting are provided, particularly on the main road frontages adjacent to the A19
- 4) Car parking areas are landscaped and outside storage is adequately sited and screened.
- 5) Adequate highway access is provided to the site (see policy CS4a iii)

Proposals for general industrial development and warehousing (falling within classes B2 and B8 of The Town and Country Planning (Use Classes) Order (as amended) will only be allowed on sites away from the A19 frontage where they meet the above criteria and do not have a significant detrimental effect on the amenities of the occupiers of adjoining or nearby properties or prejudice the development of adjoining sites.

In this respect, planning conditions may be imposed to restrict general industrial developments to appropriate operations within the B2 use class.

PREFERRED OPTION CS13: GENERAL EMPLOYMENT LAND

Proposals for business uses and warehousing (included within classes B1 and B8 of the Town and Country Planning (Use Classes) Order 1987 (as amended) will be permitted in the following industrial areas as defined in plan a:

- 1) Oakesway Business Park.
- 2) Longhill / Sandgate.
- 3) Usworth Road.
- 4) Sovereign Park
- 5) Park View West
- 6) Brenda Road East.
- 7) South Works.
- 8) Tofts Farm East/Hunter House.
- 9) Brenda Road West.
- 10) Graythorp Industrial Estate.
- 11) Graythorp Yard.

Proposals for general industrial development (included within class B2 of the Town and Country Planning (Use Classes) Order 1987 (as amended) and for other uses which are complementary to the dominant use of a development will be approved where the Borough Council is satisfied that they will not have a significant detrimental effect on the amenities of the occupiers of adjoining or nearby properties or prejudice the development of adjacent sites.

In this respect, planning conditions may be imposed to restrict general industrial developments to appropriate operations within the B2 use class. A particularly high quality of design and landscaping will be required for development fronting the main approach roads and estate roads and where relevant, adjacent to the main railway network.

PREFERRED OPTION CS14: ECO-INDUSTRIES ZONE/CLUSTER

Land will be safeguarded for the development of an eco-industries zone within the area of wider Graythorp area identified on Diagram 2. Proposals for such uses which fall outside of this area will not be approved.

Proposals for the development or extension of sites for eco-industries will be considered under the following conditions:

- 1) Waste processes and operations must be contained within buildings;
- 2) There should be no significant nuisance to adjacent premises or highway users by virtue of dust, smell, vibration, smoke, noise, mud or slurry;
- 3) The site should not be visually prominent from a main access road or from the railway;
- 4) The site should be adequately screened.

PREFERRED OPTION CS15: SPECIALIST INDUSTRIES

Land will be safeguarded to accommodate the following specialist uses:

a. A new nuclear power station

Land adjacent to the existing nuclear power station will be safeguarded for a potential new nuclear power station (see Diagram 2). This land will be safeguarded until a decision on the new power station has been made by Central Government. Should the new power station not go ahead, the existing land allocation (as detailed on the April 2006 Hartlepool Proposals Map) will be maintained.

b. Port-related development

Land will be safeguarded for port-related development at:

(1). North Seaton Channel

Proposals for port and for port-related development at North Seaton Channel will only be permitted where:

- (i) There will be no significant detrimental effect on the operation of the power station or on existing industry in the vicinity.
- (ii) New development will be located so as not to have an adverse impact on the integrity of internationally designated nature conservation sites. Where impacts have an adverse effect mitigation measures will be required.
- (iii) It is satisfactorily demonstrated that measures will be taken to ensure that the coast and surrounding watercourses in the area are not polluted or adversely affected in anyway
- (iv) They meet the criteria set out in policies CS1, CS2, CS29.

(2). Victoria Harbour

- (i) Proposals for port and for port-related development at Victoria Harbour will only be permitted where:
- (ii) New development will be located so as not to have an adverse impact on the integrity

- of internationally designated nature conservation sites. Where impacts have an adverse effect mitigation measures will be required
- (iii) The new development will not have adverse visual, health, safety or noise impacts on the residents in the existing and proposed residential areas
 - (iv) It is satisfactorily demonstrated that measures will be taken to ensure that the coast and surrounding watercourses in the area are not polluted or adversely affected in anyway
 - (v) They meet the criteria set out in policies CS1, CS2, CS29.

c. Heavy chemical, potentially polluting and hazardous industry

Proposals for development of heavy chemical, potentially polluting and hazardous industry will only be permitted in the identified 'Specialist Industry' area (see Diagram 2) provided that:

- (i) There would be no significant health and safety risk or increase in the potential risk to people in the surrounding area and to existing and proposed land uses,
- (ii) New development will be located so as not to have an adverse impact on the integrity of internationally designated nature conservation sites. Where impacts have an adverse effect mitigation measures will be required.
- (iii) the presence of hazardous substances, or the further extension of safeguarding zones around installations will not inhibit the full opportunities for development of other sites in the vicinity

Proposals involving the introduction of hazardous substances on sites which are not identified in Diagram 2 for potentially polluting or hazardous development will not be permitted unless the Borough Council is satisfied that the above conditions are met.

CS16 UNDERGROUND STORAGE

Proposals for the use of the former ICI Brinefields cavities for underground storage will only be approved where:

- (i) There will be no significant increase in the potential risk to people in the area,
- (ii) It can be demonstrated that there will be no resultant harm to the aquifer or to watercourses, or to the surrounding area,
- (iii) New development will be located so as not to have an adverse impact on the integrity of internationally designated nature conservation sites. Where impacts have an adverse effect mitigation measures will be required and
- (iv) Above ground structures are limited and are not visually prominent.

In considering proposals, the borough council will pay particular regard to advice received from the health and safety executive (including the Nuclear Installations Inspectorate), the Environment Agency, Hartlepool Water Company and natural England.

Retail

Retail and Commercial Centre Hierarchy

- 11.44 The Borough of Hartlepool has a defined and established hierarchy of retail and commercial centres. The sequential hierarchy of the different centres are detailed below :
- Town centre
 - The Marina
 - Other edge of town centre areas
 - Local centres
 - Other out of centre locations accessible by a choice of means of transport and which offer significant regeneration benefits.
- 11.45 Hartlepool has a self contained town centre, focussed around the Middleton Grange shopping centre and York Road shopping area. Immediately around and radiating out from the town centre are defined edge of town centre areas, including the Marina. Away from the centre of the town, often located in existing residential areas, are numerous local centres, all meeting the day-to-day needs of local people.
- Planning Policy Statement 4: Planning for Sustainable Economic Growth (2009)
- 11.46 PPS4 outlines the Government's overarching objective in securing and delivering sustainable economic growth. Policy EC3 states that the Local Authority should define a network and hierarchy of centres that are resilient to anticipated future economic changes and that meet the needs of their catchments. The Borough Council has defined a hierarchy of centres in line with PPS4 guidance.
- Hartlepool Retail Study (2009)
- 11.47 The Retail Study was undertaken by Drivers Jonas on behalf of Hartlepool Borough Council. The study raised a number of major concerns with regards to the health of the town centre.
- 11.48 It is estimated that there is a £40 million deficit in convenience goods expenditure and there is insufficient expenditure to justify further floorspace in the future. Even taking an ultra long term view with regard to comparison goods expenditure there is insufficient capacity for further comparison goods retail floorspace. As a result the study states that extreme caution should be exercised in permitting new floorspace outside of existing defined centres the Borough.
- Continuing Monitoring (Ongoing)
- 11.49 The average retail unit in the town centre is approximately 250m², apart from retail warehouses, in the edge of town centres and local centres across the Borough it is approximately 100m². This reflects the hierarchical nature of the centres in the Borough.
- 11.50 As there is insufficient expenditure to justify further floorspace in convenience and comparison goods there is a urgent need to locate all new retail development in existing centres. Any new retail floorspace granted permission outside of the defined centres will merely draw expenditure away from the existing centres and put them at risk. This is a major concern for the vitality and viability of the all the defined centres in the Borough.
- 11.51 Most local centres offer a wide range of services and many have an "anchor" unit; normally a convenience shop such as a supermarket. In the local centres these anchor units vary from small 100m² units, to larger units in excess of 300m². If this type and scale of unit was granted permission outside of an existing centre they would have the potential to do the most harm to the vitality and viability of each unit and cumulatively to the overall local centre. Therefore the Borough Council is planning to require a retail impact assessment for all retail developments that are in excess of 200m² that are not in an identified retail centre.

Consultation feedback on Preferred Options (January 2010)

- 11.52 The preferred option proposed protecting the vitality and viability of defined sequential hierarchy of centres; particularly the town centre, edge of centre and local centres in the Borough. The following points were raised during the consultation period:
- The town centre should be the focus of new retail development.
 - The town centre is failing and needs investment.
 - It is essential to protect local centres for small business and local services.

Feedback on Sustainability Appraisal Preferred Options (January 2010)

- 11.53 The main findings of the Sustainability Appraisal relating to the preferred option are that the option is positive in environmental and social terms. The option will not have any impact in terms of economic benefits. No changes were proposed.

Justification in selecting the Preferred Option

- 11.54 The Borough Council's Preferred Option is to ensure that the hierarchy of retail and commercial centres are maintained and that their role, function and vitality and viability are maintained in the future.
- 11.55 The need to effectively and robustly protect and enhance the existing and newly established centres arises, as the Retail Study states with regard to convenience and comparison goods expenditure, there is insufficient expenditure to justify further floorspace in the future and that extreme caution should be exercised in permitting new floorspace outside of the local centres.

CS17 Retail and Commercial Centre Hierarchy

The Borough Council will identify and define a hierarchy of retail and commercial centres that will offer a variety of sites that are economically attractive, diverse and in appropriate sustainable locations throughout the Borough.

Depending on the scale, new retail and commercial development will be directed towards the most appropriate centre in the hierarchy. The defined hierarchy and sequential preference of the centres in the Borough are detailed below:

- 1) Town Centre.
- 2) The Marina.
- 3) Edge of Town Centre Sites.
- 4) Local Centres.

Where it is established that no suitable sequentially preferable sites are available, an appropriate location would be those accessible by a choice of means of transport and/or which offer significant regeneration benefits.

Proposals for retail uses in excess of 200m² gross floorspace, not located in an appropriate defined retail centre, will be required to provide a robust retail impact assessment.

Proposals not located in an appropriate defined retail centre, which would have the potential to undermine a defined centre's vitality and viability will not be permitted.



The Town Centre

- 11.56 Hartlepool has a relatively self contained town centre serving the immediate local area and the adjoining areas of south east Durham and Billingham. The town centre is the main shopping, commercial, educational and social centre of Hartlepool, supporting the Middleton Grange shopping centre which is the third largest covered retail area in the North East.
- 11.58 Relatively close to the Middleton Grange shopping centre and within the town centre are the superstores of Morrisons and Asda with the more traditional shopping and leisure areas of York Road and Church Street.

Planning Policy Statement 4: Planning for Sustainable Economic Growth (2009)

- 11.59 PPS4 outlines the Government's overarching objective in securing and delivering sustainable economic growth. Policy EC3 states that the Local Authority should set flexible policies for the town centre to respond to changing economic circumstances including where it is in decline. Further to this the Local Authority is required to identify primary shopping frontages and encourage residential or office development above ground floor. Policy EC4 states that the Local Authority should plan for consumer choice and promote a competitive town centre. The Borough Council has included all requirements into the preferred options in line with PPS4 guidance.

Hartlepool Retail Study (2009)

- 11.60 The study raised a number of major concerns with regards to the town centre. There is a higher than average number of vacant units in the centre. The observed increase in the number of vacancies arising in Hartlepool's Primary Shopping Area (most notably Middleton Grange) is of particular concern. Over a ten year period, Hartlepool's standing has been down-graded and both South Shields and Stockton on Tees have overtaken Hartlepool in terms of their overall positioning in the Management Horizons Index.
- 11.61 It is estimated that there is a £40 million deficit in convenience goods expenditure and there is insufficient expenditure to justify further floorspace in the future. Even taking an ultra long term view with regard to comparison goods expenditure there is insufficient capacity for further comparison goods retail floorspace. As a result the study states that extreme caution should be exercised in permitting new floorspace outside the town centre.

Continuing Monitoring (Ongoing)

- 11.62 The Borough Council continually monitors the health, vitality and viability of the town centre. Of concern is the increasing numbers of vacant units in the town centre; specifically in the Middleton Grange shopping centre.
- 11.63 The Mill House area, being well related to the existing town centre, is in decline and in need of significant regeneration. The main uses in the area are leisure; the football stadium complex and the Mill House leisure centre with associated car parking. Redrawing the town centre boundary to include this area will diversify the offer of the town centre and also offer the opportunity to locate town centre uses into the Mill House area to promote future regeneration.

Central Area Investment Framework (CAIF)

- 11.64 The CAIF recognised that the central area of Hartlepool, including the town centre and the edge of town centre to the south east, is a key economic driver for the town, but that it needs to contribute more significantly to economic diversity. The CAIF identifies weaknesses with the environmental quality and public realm in and around the town centre and also the connectivity between parts of the town centre, particularly Church Street and the Middleton Grange shopping centre.
- 11.65 Within the CAIF, with specific regard to the town centre, an innovation and skills quarter (ISQ) is proposed for development. The ISQ is designed to address the key economic and property market challenges that are a barrier to development in the area. The ISQ will generate a new identity for the central area through differentiating its asset base and delivering an attractive and competitive environment to support the growth of new/small knowledge based businesses, specifically creative

industries and maximising the location of the new college. The drive to locate creative industries in the ISQ will be reflected in the preferred option.

Consultation feedback on Preferred Options (January 2010)

- 11.66 The preferred option proposed protecting the vitality and viability of the town centre and to extend the town centre boundary to include the Mill House area and to seek to diversify the offer of the town centre. The following points were raised during the consultation period:

- The town centre is failing and needs investment.
- There should be greater recognition of the role the Colleges play in the town centre.
- The Middleton Grange shopping centre is failing and should be demolished.
- Enhancements should also refer to opportunities for incorporating green spaces, green roofs, biodiversity and landscaping as part of the public realm.

Feedback on Sustainability Appraisal Preferred Options (January 2010)

- 11.67 The main findings of the Sustainability Appraisal relating to the preferred option are detailed below:

- Overall the option is positive in environmental and social terms. The option will not have any impact in terms of economic benefits.
- The option could refer to design and sustainable construction within the town centre to help ensure that high quality sustainable design is embedded into all town centre applications.

Justification for Preferred Option

- 11.68 The Borough Council's Preferred Option is to ensure the vitality and viability of the town centre and that it is the sequentially preferable location for all town centre uses including new retail, assembly and leisure, certain types of business, creative industries and education and training centres.
- 11.69 In view of the need to consider the potential redevelopment of leisure facilities and the promoting of other town centre uses in the Mill House area the town centre boundary has been redrawn to include the site within the defined town centre.
- 11.70 Ongoing monitoring and evidence detailed in the Retail Study and the Central Area Investment Framework established that the town centre is in decline. The Borough Council is therefore seeking to focus a wider range of services, promoting the diversification of uses and improving the environment of the town centre in order to arrest the decline and improve the future vitality and viability of the town centre.

CS18 The Town Centre

The town centre as defined on the Key Diagram 3 now including the Mill House area, will continue to be the primary centre in the Borough. In accordance with policy CS17 the Borough Council will seek to diversify, support and protect the town centre as the sequentially preferable location for main town centre uses, including:

- Shops, Financial and Professional Services, Restaurants and Cafes and Drinking Establishments (A1, A2, A3, A4)
- Business (B1 (a) and (b))
- Non Residential Education & Training Centres (D1)
- Assembly & Leisure (C1, D1 Class XVI, D2)
- Creative Industries (A1, B1 (a) and (b))
- Theatres and Nightclubs (in accordance with policy CSE)

The above uses will only be permitted providing that they do not adversely affect the character, appearance, function and amenity of the area and that they are in accordance

with policy CS24.

Within the town centre, the primary shopping area, as defined on the Key Diagram 3, will be the sequentially preferable location for existing and new A1 shopping development. Non A1 shopping uses will only be permitted in the primary shopping area where it is demonstrated that they do not impact on the retail function of the primary shopping area.

Subject to conformity with policy CS24 new housing developments and, where appropriate, the reuse of upper floors above existing commercial buildings, for residential purposes, will be encouraged providing they do not impact on the retail and commercial function of the area.

All new development and general proposals for revitalisation and redevelopment within the town centre should be in conformity with Preferred Option CS24 and seek, where appropriate, improvements to:

- **Connectivity to the Marina and other edge of town centre areas,**
- **The overall environment and appearance of the area,**
- **Public transport provision,**
- **Sustainable pedestrian and cycleway provision,**
- **Areas of public realm.**

More detailed guidance will be given in a subsequent Central Area SPD.

Edge of Town Centres

- 11.71 Immediately around the town centre are a number of areas suitable for a range of uses which could enhance the vitality and viability of the town centre. These edge of centre areas are well integrated and relate well to the town centre often complimenting retail, business and other services that cannot be accommodated in the town centre but require a central location.

Planning Policy Statement : Planning for Sustainable Economic Growth (2009)

- 11.72 PPS4 outlines the Government's overarching objective in securing and delivering sustainable economic growth. Policy EC3 states that the Local Authority should define a network and hierarchy of centres. The Borough Council has defined edge of town centre areas which sit in the hierarchy underneath the town centre and above local centres; in line with PPS4 guidance.

Hartlepool Retail Study (2009)

- 11.73 It is estimated that there is a £40 million deficit in convenience goods expenditure and there is insufficient expenditure to justify further floorspace in the future. Even taking an ultra long term view with regard to comparison goods expenditure there is insufficient capacity for further comparison goods retail floorspace. As a result the study states that extreme caution should be exercised in permitting new floorspace outside of existing defined centres the Borough.

Continual Monitoring (Ongoing)

- 11.74 Most of the edge of town centres are currently in good health and offer a complementary role to the town centre, however there are particular issues with regard to the Marina. The prominent Jacksons Landing site is currently vacant and has been vacant for at least the last 8 the years. Further to this, there are prominent vacant office units on Middleton Road. Although the Marina area is in general good health, the vacant sites are very prominent and therefore need to be the focus of new appropriate commercial development. Most edge of town centre areas at some point either support or give way to residential areas. Certain uses, including A4 drinking establishments and A5 hot food takeaways have been proven to have a detrimental affect on residential areas immediately adjoining and further away from the centre. In order to protect the amenity of the occupiers of the existing residential areas, A4 and A5 uses need to be effectively controlled. Therefore, the only suitable location for new drinking establishments and hot food takeaways outside of the town centre is the Marina and no other edge of town centre areas, in order to protect residential amenity.

Consultation Feedback on Preferred Options (January 2010)

- 11.75 The preferred option proposed protecting the vitality and viability of defined sequential hierarchy of centres; particularly the town centre, edge of centre and local centres in the Borough. There was specific concern with regard to the vacant Jackson Landing property at the Marina and what the Council could do to bring the building back into use.

Feedback on Sustainability Appraisal Preferred Options (January 2010)

- 11.76 The main finding of the Sustainability Appraisal relating to the preferred option were that overall the option is positive in environmental and social terms. The option will not have any impact in terms of economic benefits. No changes were proposed.

Justification in Preferred Option

- 11.77 The Borough Council's aim is to ensure the vitality and viability of the town centre and that it is the sequentially preferable location for all town centre uses, including new retail, assembly and leisure, business, creative industries and education and training centres.
- 11.78 In the centre hierarchy, the next preferable location for main town centre uses where they cannot be located in the town centre will firstly be the Marina, then other established edge of centre areas. As with the town centre, there are identified weaknesses with the environmental quality and public realm in the edge of town centre areas that need to be addressed and that new development, that has the potential to impact of the nearby residential areas, is effectively controlled.

CS19 The Edge of Town Centres

In accordance with policy CS17 the Marina, then other edge of town centre areas, as defined on the Key Diagram 3 will be the next sequentially preferable location for:

- Shops, Financial and Professional Services and Restaurants and Cafes (A1, A2, A3)
- Business (B1 (a) and (b))
- Non Residential Education & Training Centres (D1)
- Assembly & Leisure (C1, D1 Class XVI, D2)
- Creative Industries (A1, B1 (a) and (b))

The above uses will only be permitted providing that they do not adversely affect the character, appearance, function and amenity of the area and that they are in accordance with policy CS24.

New development for Drinking Establishments (A4) and Hot Food Takeaways (A5) will only be permitted in the Marina, as defined on Key Diagram 3 and not in any other edge of town centre areas.

All new development and general proposals for revitalisation and redevelopment within edge of town centre areas should be in conformity with Preferred Option CS24 and seek, where appropriate, improvements to:

- Connectivity to the town centre and other edge of town centre areas,
- The overall environment and appearance of the area,
- Public transport provision,
- Sustainable pedestrian and cycleway provision,
- Areas of public realm.

More detailed guidance will be given in a subsequent Central Area SPD.

Local Centres

- 11.79 Away from the town centre and edge of centre central areas, often located in existing residential areas are the local centres. The scale, function and character of local centres are typified by centres that provide the day to day shopping and other local needs of the community, particularly those who are less mobile. Many of the local centres are provided in the form of small shopping parades, some are in the form of “corner shops” mainly providing local shops and services. The local centres are detailed in appendix 3.
- 11.80 The function and character of a local centre is crucial to its ongoing vitality and viability. Where a certain type of use, for instance A5 hot food takeaways, become to dominate a local centre it may start to reduce the overall vitality and viability of the centre.

National Planning Guidance PPS4: Planning for Sustainable Economic Growth

- 11.81 PPS4 outlines the Government's overarching objective in securing and delivering sustainable economic growth. Policy EC3 states that the Local Authority should define a network and hierarchy of centres. The Borough Council has defined the local centres, in sustainable locations that serve a defined local need in the Borough; in line with PPS4 guidance.

Hartlepool Retail Study (2009)

- 11.82 The Retail Study confirms that local centres across the Borough are all relatively small scale, the majority of which serve the basic shopping and service requirements of the local residential areas with which they are associated. The centres appear in general terms to be functioning effectively at their level in the local retail hierarchy, although some to a lesser extent than others.

Continuing Monitoring (Ongoing)

- 11.83 The Borough Council continually monitors the health, vitality and viability of the local centres in Hartlepool. Of concern resulting from this monitoring is the increasing numbers of hot food takeaways that are being granted permission in local centres.

Consultation Feedback on Preferred Options 2010

- 11.84 The preferred option proposed protecting the vitality and viability of the local centres in the Borough. The following issues were raised during the consultation process:
- It is essential to protect local centres and promote the use of local shops and businesses and be safeguarded for traditional shops such as butchers and bakers in place of hot food takeaways.
 - The possibility of new local centres should not be precluded, especially in new residential areas. This is a relevant issue when considering the south west residential extension, which will need a new local centre but, as yet, has not been defined in a specific location.
 - Local centres create anti social behaviour, underage drinking, traffic pollution and vast litter problems which are all detrimental to people's quality of life.

Feedback on Sustainability Appraisal Preferred Options 2010

- 11.85 The main finding of the Sustainability Appraisal relating to the preferred option was that it will impact in a positive way economically as well as having some social and environmental benefits. The appraisal recommended that the preferred option could mention how access to and from local centre could be improved, especially by more sustainable modes of transport.

Overall Justification in Selecting the Preferred Option

- 11.86 The Borough Council's aim is to ensure the vitality and viability of the existing hierarchy of centres in the Borough, including local centres. Depending on the scale, new retail and commercial development will be directed towards the most appropriate centre in the hierarchy; where the scale is for local, day-to-day needs, this will be a location in a local centre.
- 11.87 The function and character of a local centre is crucial to its ongoing vitality and viability; the preferred option seeks to avoid developments that would have a detrimental impact on the function and character of the local centre.

CS20 The Local Centres

The Borough Council will seek to protect and support local centres in recognition of the important service they provide to their local communities. In accordance with policy CS17 existing and new local centres as defined in appendix 3 will be the next sequentially preferable location for:

- Shops, Financial and Professional Services, Restaurants and Cafes, Drinking Establishments and Hot Food Takeaways (A1, A2, A3, A4, A5)
- Non Residential Institutions (D1)

Suitable developments, detailed above, will only be permitted within local centres where they are in conformity with Preferred Option CS24 and:

- It is demonstrated that the scale, function, character and appearance of the local centre is maintained, and;
- It is established that there will be no significant adverse effect on the amenities of the occupiers of adjoining neighbouring properties.

More detailed guidance will be given in a subsequent Local Centre SPD.

Night Time Economy

- 11.88 Some leisure activities can have a detrimental effect on the amenities of the surrounding area. Amusement arcades and bingo halls, for example, generate a certain amount of noise and their proliferation in an area can have an inhibiting effect on other businesses. Similarly, take-away food establishments, wine bars and other licensed premises can also give rise to different types of 'nuisance' and should generally be located away from residential areas.
- 11.89 Licensing laws enable such uses, as well as night clubs and premises selling alcohol, to open up to twenty four hours a day, every day. This could exacerbate the potential for disturbance during the time when most residents would normally expect peace and quiet. Most disturbance in this respect is caused by users once outside the premises. The Borough Council will normally attach planning conditions to permissions restricting hours of opening in order to protect the amenities of nearby residents. However, the central parts of the town that are away from residential areas where longer opening hours may be acceptable due to historical development and the existing uses operating in those areas. The Church Street area of the town centre and the south western part of the Marina edge of town centre area are such locations. However, it is important that these areas do not lose their respective character and function as mixed use areas.

National Planning Guidance PPS4: Planning for Sustainable Economic Growth

- 11.90 PPS4 outlines the Government's overarching objective in securing and delivering sustainable economic growth. Policy EC4 states that the Local Authority should manage the evening and night-time economy and policies should encourage a diverse range of complementary evening and night-time uses, taking account of their potential impact on the character and function of the centre, anti-social behaviour and crime and the amenity of nearby residents.

Hartlepool Retail Study (2009)

- 11.91 The Retail Study identifies Church Street and the Marina as key night-time destinations that have a positive effect on the economy; specifically the night time economy of the town. The study states that linkages between Church Street and the Marina could be improved as there is a degree of synergy (night-time economy, leisure/tourist attractions, etc.) between the two areas.

Consultation Feedback on Preferred Options (January 2010)

- 11.92 The preferred option proposed limiting developments operating between midnight and 7am to the Church Street area and the south west part of the Marina. There were no representations made on the preferred option.

Feedback on Sustainability Appraisal Preferred Options (January 2010)

- 11.93 The main finding of the Sustainability Appraisal relating to the preferred option was that Overall the tourism and leisure policy will have a positive impact on the economy, the environment and the residents of the borough. No changes were proposed.

Overall Justification in Selecting the Preferred Option

- 11.94 The Borough Council's aim is to ensure that developments operating between midnight and 7am are directed towards the Church Street area and the south west part of the Marina. By located in these areas the preferred option will ensure that they do not have a detrimental effect on the amenity of neighbours, overall appearance, function and character of the area.

CS21 Night Time Economy

The Borough Council will support development in appropriate locations that contribute positively to the night time economy in the Borough. Proposals for developments which will operate between midnight and 7am will be only be permitted at the Church Street/Marina area identified on Key Diagram 3.

In order to adequately develop and protect the Church Street/Marina area, permission will only be granted where proposals are in accordance with policy CS24 and:

- It is demonstrated there would be no significant detrimental effect on the amenities of the occupiers of nearby properties by reason of noise and disturbance; and**
- The overall appearance, function and character of the Church Street and south west Marina areas are not prejudiced.**

Expanding Leisure and Tourism

- 11.95 Hartlepool has developed primarily because of its coastal location. Much of the coastline is important for its wildlife and historic interest, but it is also an important asset in terms of providing opportunities for leisure and tourism. These opportunities include more active outdoor pastimes associated with the coast (sailing, windsurfing and land based pursuits such as fun parks and rides) and more passive outdoor pursuits including the quiet enjoyment of the natural environment.
- 11.96 The value of leisure and tourism in today's society cannot be underestimated. It plays an important role in mental and physical health, the economy, social inclusion and in generating confidence in people. The provision of such facilities benefits residents and makes the area more attractive to visitors and investors.
- 11.97 Although Tourism and Leisure are intrinsically linked the sections below separate them to illustrate the wide range of both tourism and leisure activities that Hartlepool has to offer.

Tourism

- 11.98 Tourism has become an integral part of the economy – directly, in terms of providing jobs and indirectly, in terms of attracting visitors and spending into the town. In 2009, tourism expenditure was worth £47.0 million to the economy of Hartlepool. The town's assets include a range of attractions based on its maritime heritage and the Marina, its beaches at Seaton Carew, green tourism with its internationally important nature conservation areas and its Christian, historic and military heritage particularly on the Headland. Building on the impact of previous Maritime Festivals the contribution which the Tall Ships event in 2010 made to the local economy was extremely significant, not only in terms of the influx of expenditure, but in providing a show case for the town and its surroundings, and stimulating improved skill levels and business capacity in the service sector.
- 11.99 The Marina area has also developed significantly over the past decade, acting as a driving force behind the regeneration of Hartlepool, and adds an extra dimension to the maritime Heritage offer within Hartlepool. It will continue to be a major focus for tourism activity, anchored by Hartlepool's Maritime Experience, home of HMS Trincomalee. This unique facility is ideally located in close proximity to the town centre within the south west part of the Marina and attracts large numbers of visitors. This central location close to the transport interchange means that the Maritime Experience is not only sustainable but provides a prominent example to visitors as to the cultural and heritage assets that the town has to offer. The wide range of restaurants available on Navigation Point and nearby accommodation also compliments the town centre offer. Opportunities to further enhance the Marina's attractiveness to potential investors and tourists will be a key priority of the local authority in the future. In this respect, the protection of waters within the marina complex is important for the continued attractiveness of the area for recreation in the form of water sports and coastal wildlife conservation. It is therefore important to retain and enhance access to the water and Marina.
- 11.100 Also located centrally within the town Christ Church has been converted into the town's Art Gallery and Exhibition Centre and also houses the Tourist Information Centre. Other museum related visitor facilities are located at the Headland within St Hilda's Church and the Heugh Gun Battery.
- 11.101 Green Tourism is tourism relating to the natural environment. The Borough Council is committed to promoting Green Tourism. Hartlepool has many assets, which can contribute to green tourism such as the ecological interest of the area (particularly bird watching, seals and wildlife). One such example is the proposed development at the Heugh Lighthouse on the Headland for the UK's first purpose built sea watching bird observatory. Green Tourism if developed in conjunction with other local partner organisations and in a sensitive manner, is an area where there is much potential. It can open up beautiful areas of coast to those who might otherwise not visit such areas. To assist achieve this aim an enhanced access network of paths and cycleways needs to be created and improved so as to give users and potential users the chance to access and enjoy these beautiful and special areas of the coast and countryside.

- 11.102 A key site suitable for tourism related development is identified on the seaward side of the front of Seaton Carew. Identified as Seaton Sands and actively promoted by the Council, the site comprises the former amusement park and car park, land behind Seaton Carew bus station and adjacent areas of underused land and buildings. The site is located within the core area of Seaton Carew, which is considered suitable for more intensive leisure and commercial mixed use facilities and could also include an element of residential. It is considered that leisure and tourism developments at these sites would help to strengthen the Hartlepool offer and could bring significant economic and environmental benefits. A master plan, which will take the form of an SPD, is currently being prepared for Seaton Carew which will help to guide development of this area and to help secure successful inward investment and related future development in Seaton Carew.

Leisure

- 11.103 Summerhill country park is a key recreational and leisure resource linking the town with the open countryside. The site provides a visitor centre, climbing facilities, cycling, horseriding, walking and other general countryside activities in a location readily accessible to the Hartlepool community as well as to visitors to the town. There may be opportunities to extend the range of facilities provided, although such development would exclude motor sports and other noisy activities. As these are considered to be incompatible with the general nature of Summerhill.
- 11.104 As well as continued success of more traditional sports such as golf, rugby and football, noisy activities, including off-road motorised sports and clay pigeon shooting, are, however, becoming increasingly popular. There is evidence of some motor cyclists and similar users tend to use the beach and dunes and other large areas of open space within the town, which causes problems of disturbance and of damage to fragile areas, particularly the important wildlife areas along the coast. In order to lessen these problems, it is necessary to identify an area where noisy outdoor activities could be accommodated to minimise conflict with other uses. New proposals for potentially disturbing outdoor activities will need to be carefully considered in the context of their potential impact on adjacent land uses and occupiers of nearby properties
- 11.105 Indoor sports and leisure facilities include a wide variety of sporting, leisure, social, cultural and educational centres including sports halls, museum, cinemas and theatres.
- 11.106 Sports Halls: existing provision in the public sector is concentrated at Mill House Leisure Centre (swimming baths and multi-purpose leisure centre) in the central area of the town with smaller multi-use facilities at the Headland, Belle Vue and Brierton and several smaller sports halls including Seaton Carew and Rossmere. The local authority is committed to the renovation and regeneration of Mill House and the surrounding area and investment will be directed towards ensuring that Mill House continues to be retained for recreational and leisure uses.
- 11.107 Cinemas and Theatres: a six-screen, state of the art multiplex cinema is located at the Marina which is considered adequate for the town's needs. The Town Hall, within the town centre, has been converted and upgraded in recent years to provide a theatre which attracts national and local productions.

Planning Policy Statement 1, Delivering Sustainable Development

- 11.108 Requires "that suitable locations are available for...tourism and leisure developments, so that the economy can prosper." It goes on to state that in order to deliver sustainable development planning authorities should "provide improved access for all...by ensuring that new development is located where everyone can access services or facilities on foot, bicycle or public transport rather than having to rely on access by car..."

Planning Policy Statement 4, Planning for Sustainable Economic Growth

- 11.109 Supports the developments of leisure and tourism which provide employment opportunities and generates wealth.

- 11.110 It also states that “Local planning authorities should manage the evening and night-time economy in centres, taking account of and complementing the local authority’s Statement of Licensing Policy and the promotion of the licensing objectives under the Licensing Act 2003”.

Planning Policy Statement 5, Planning for the Historic Environment

- 11.111 States that “Planning has a central role to play in conserving our heritage assets and utilising the historic environment in creating sustainable places.”

Tees Valley Area Tourism Management Plan (ATMaP)

- 11.112 Hartlepool’s “offer” to visitors is developed and promoted within the context of the Tees Valley Area Tourism Management Plan (the ATMaP), which has four priorities:

- Improving the physical product
- Raising skills levels in the sector
- Developing a high quality events programme
- Promoting the Tees Valley brand

- 11.113 In “product” terms, Hartlepool contributes to the Tees Valley’s Coastal Arc. The ATMaP indicates that “The key to maximising the impact of the Tees Valley’s coastal stretch is the continuation of regeneration work creating a chain of distinctive settings to showcase our assets.” For Hartlepool, priorities include the ongoing regeneration in the marina, town centre and Headland, to provide a unique environment for entertainment, heritage and watersports activities. Such work involves the full range of “place-shaping” activities, including enhancing connectivity, refreshing and adding to the existing portfolio of visitor attractions and the interpretation of tourism assets. The Seaton Carew area has an important supporting role, especially in relation to its nature conservation value, complementing the nearby Saltholme RSPB site within Stockton-on-Tees: the priority there is in strengthening physical, marketing and functional links with Saltholme as part of the wider nature-based tourism offer of the Tees Valley.

Consultation feedback Preferred Options (January 2010)

- 11.114 The Secretary of State objected to this policy as it conflicts with PPS:5, the draft policy does not do justice to the maritime heritage and historic environment of Hartlepool’s Historic Quay and how this could be enhanced and incorporated into the regeneration of the town centre.

- 11.115 Other comments that were received relating to this policy included:

- It was suggested that “nature tourism” was a more appropriate term than “green tourism” and also that more emphasis be put on the rights of way network within the Borough.
- The Tees Valley Wildlife Trust requested reference be made to working with local partners to promote green tourism, wildlife habitats and the natural environment. The Teesside Bird Club noted that the Heugh Lighthouse is to be developed as the UK’s first purpose built sea watching bird observatory and wanted this reflecting within the Core Strategy.
- It was requested that the natural environment along Coronation Drive be protected and that enhancements be made to Seaton Park. Another comment considered that the Headland and Seaton Carew are currently undervalued and warrant more investment.
- It was also noted that St Hilda’s Church is a valuable asset to the town and that it should be open to the public all year round.
- The possibility of building an indoor climbing wall at Summerhill was also considered to be an opportunity that should be investigated.
- The Theatres Trust wanted the references to theatres to be included within the Town Centre Policy CS9 rather than the Leisure and Tourism Policy.

Sustainability Appraisal Preferred Options (January 2010)

- 11.116 This policy was considered to have a beneficial economic impact and some social benefits related to enhancing the quality of facilities available to the residents of the town. The policy helps to minimise the environmental impact of new tourism and leisure facilities through encouraging them to be built in areas well served by public transport, however it is accepted that there will be some

negative impact in terms of CO² generation through large numbers of visitors to these facilities travelling by car.

Justification on Preferred Option

- 11.117 Culture, tourism, sport and recreation businesses and creative industries employ nearly 10% of the Region's workforce, and contribute over £1bn per year to the regional economy. There has been considerable investment and growth in the sector. The tourism industry, for example, is witnessing an increase in visitor numbers. It is anticipated that this growth and development will continue.
- 11.118 The strength of the tourism and leisure market in Hartlepool and the various economic, social and environmental benefits it has have been illustrated above. It is considered critical that the Core Strategy puts in place the policy framework from which this sector will be able to develop further in the future, ensuring Hartlepool retains and develops its position as a regionally significant visitor destination.
- Future major leisure and tourism developments in Hartlepool will be expected to locate within the town centre or the Marina. However there are two other areas in the town where such developments could be located depending upon their scale and nature:
- The Headland: appropriate for tourism-related projects related to its historic and cultural heritage;
 - Seaton Carew : appropriate for sea-side based recreational and leisure facilities
- 11.119 The night time economy is a crucial part of the leisure industry in Hartlepool, however it is recognised that these activities must be closely managed to minimise impacts on nearby residential areas. As such the local authority will continue to identify the Church Street mixed use area and the south western part of the Marina for uses which operate at times throughout the night and early morning such as bars, restaurants and nightclubs.

Preferred Option CS22: Leisure and Tourism

The Borough Council will work with key partner organisations to continue to develop the tourism and leisure sectors within Hartlepool, building on the successful regeneration of the past decade which has in particular showcased the towns maritime heritage.

Major leisure and tourism developments which are likely to attract large numbers of visitors should be located within the following established key tourist areas:

- Town Centre;
- The Marina;
- Seaton Carew; or
- The Headland

Major leisure developments on sites elsewhere will only be approved where it has been demonstrated that:

- all or part of the development cannot be accommodated on existing or potential sites in the above areas;
- they will provide major regeneration benefits to the town; and
- provided that they are in conformity with Preferred Option CS1.

Development at the Marina will be a key priority for the Borough Council. The area will continue to develop as a major visitor attraction and new developments which complement and build on the success of the Maritime Experience will be encouraged. The Borough Council will seek to protect the areas of water within the Marina from development,

retaining the ambience and attraction of the marina development as a whole.

The local authority will work pro-actively to help develop schemes which would enhance the historic nature of the Headland. The historic environment and maritime, military and Christian heritage of the Headland will be protected from development which would be detrimental to the sustainability and character of the of the area.

Summerhill will continue to be developed as a focus for access to the countryside, nature conservation and informal recreational and leisure activities such as walking, cycling and climbing.

The Borough Council will continue to encourage the enhancement of existing tourist accommodation and also the development of new tourist accommodation within the key tourist areas of the Borough. Tourist accommodation in the rural area should conform with Preferred Option CS23 and CS24.

The Borough Council will promote and encourage green tourism through the provision of facilities for the observation and interpretation of wildlife, habitats and the natural environment.

The development of land for noisy outdoor sports and leisure activities within the urban area will only be approved where:

- The site is not in close proximity to housing;**
- There will be no significant detrimental effect on the amenities of occupiers or users of adjoining or nearby land or on the flora or fauna of designated wildlife sites; and**
- Measures are taken to minimise potential noise nuisance beyond the site boundaries.**

12. The Rural Economy

- 12.1 The countryside of Hartlepool comprises about two thirds of the Borough's area although the population of the rural area is very small. There are five villages in the borough, Hart, Dalton Piercy, Newton Bewley Elwick and Greatham. Whilst Elwick and Greatham have some amenities such as a shop and a school the other villages are somewhat lacking in basic facilities and an adequate bus service.
- 12.2 The rural area is an important asset in terms of its impact on the local economy, the environment, eco systems and tourism. The rural area provides local employment which in turn helps to sustain other parts of the local economy such as village shops and other local services.
- 12.3 Whilst we need to protect the open countryside to ensure that the natural habitat and landscape character of the countryside is not lost, we also need to ensure there is a balance between protecting and enhancing the rural area and providing a socially, economically and sustainable environment for residents. Some development may be acceptable within the rural area for example, farm diversification, employment provision and tourism accommodation to help support the rural economy and encourage sustainable communities providing they are of a suitable scale and nature.
- 12.4 Renewable energy projects have a growing role to play in the changing rural economy and careful consideration needs to be given to these.

Planning Policy Statement 1 Delivering Sustainable Development (2005)

- 12.5 This PPS states that when securing rural development, including employment and affordable housing opportunities to meet the needs of local people, planning authorities should recognise that a site may be acceptable even though it may not be readily accessible other than by private car.

Planning Policy Statement 4 Planning for Sustainable Economic Growth (2009)

- 12.6 States that the local planning authority should ensure that the development plan should positively plan for the location, promotion and expansion of clusters or networks of knowledge driven or high technology industries. Also they should provide customer choice by supporting shops, services and other important small scale economic uses in villages. In policy EC6 it states that in rural areas local planning authorities should strictly control economic development in open countryside away from existing settlements and identify local service centres. Policy EC7 states that it will help deliver the government's tourism strategy by supporting sustainable rural tourism and leisure developments that benefit rural business, communities and visitors and which utilise and enrich, rather than harm, the character of the countryside, its towns, villages, buildings and other features.

Planning Policy Statement 22 Renewable Energy (2004)

- 12.7 This states that in rural areas renewable energy projects have the potential to play an increasingly important role in the diversification of rural economies.

Consultation Feedback on Preferred Options (January 2010)

- 12.8 The Secretary of State objected to this policy as it conflicts with PPS12 as it repeats or reformulates national or regional guidance.

- 12.9 A number of other responses were made on this policy, many of which were supportive. The following issues were also raised:
- Natural England had some suggestions for changes but was mostly supportive.
 - There is a concern regarding the impact on the infrastructure such as traffic, parking and schools.
 - There are also constraints to developing on 'green' land such as high-pressure water pipelines, overhead power lines and conservation ponds, on some areas there is also poor drainage
 - The RSPB supported the policy even though it is in direct conflict with other Core Strategy policies regarding the westward extension of Hartlepool.
 - Tees mouth Bird Club had similar concerns to the RSPB.
 - Other positive supportive comments came from Tees Archaeology, NLP, One North East and English Heritage.

Sustainability Appraisal on Preferred Options (January 2010)

- 12.10 The rural economy policy has the potential to achieve strong economic and social benefits, in the rural area. New housing will meet local need and provide a vibrant and diverse community. Diversification will provide a range of sustainable jobs, support the rural economy and local tourist trade. Environmentally the benefits are minimal due to the small amount of development proposed. The impacts cancel each other out and will result in a neutral impact with particular regard to energy efficiency, use of natural resources, waste and climate change.

Justification in selecting Preferred Option

- 12.11 The Council's Preferred Option is to protect rural areas and ensure that the attractiveness of the countryside is not lost. However this needs to be balanced by permitting development that allows sustainable growth for the rural economy and its associated communities.

Preferred Option CS23: The Rural Economy

The Borough Council will encourage activities in the countryside that help support the rural economy and encourage sustainable communities provided that they are of a scale and nature that is suitable to a rural location. The Borough Council will also seek to ensure that the open countryside is protected to ensure that its natural habitat, cultural heritage and landscape character are not lost in accordance with Policy CS29. Farm diversification will be supported provided that the highest quality land is not lost and that it is appropriate in scale and nature for a rural location.

New development in the countryside should, where possible:

- Be located in or near to the local service centres of Elwick, Hart or Greatham;
- Should not have a detrimental impact on neighbouring users;
- Enhance the quality, character and distinctiveness of the immediate area, villages and landscapes;
- Create and improve sustainable access so as to compliment any future development;
- Re-use existing buildings.

Proposals should also be in conformity with Policies CS1, CS2, CS8, CS9, CS10 and CS24.

12. Environment

The Built Environment

- 12.1 Whilst many parts of Hartlepool have undergone a fundamental physical transformation as a result of concentrated regeneration work since the early 1990's, the design quality of much of the new development within that regeneration has been inconsistent. In part that has reflected the prevailing economic climate of much of that period and a pattern of fragmented ownerships and developer interest which have made it difficult to secure high quality design solutions on a comprehensive scale.
- 12.2 There are now, however, very obvious opportunities within a range of major capital projects within the Borough to produce exemplar projects, e.g. the Primary Schools Capital Programme, the One Life Centre on Park Road, the ongoing remodelling of Hartlepool Sixth Form college and Further Education College which are almost complete, the purchase of the Ledbetter buildings by the college showing their commitment to the Borough by allowing for expansion with a resulting increase in student numbers. A range of new housing developments and mixed use schemes are also being promoted by the private sector, registered social landlords and the Council. The Building Schools for the Future programme has been put on hold by central government, however over the next 15 years these plans could still be put in place and a new school could be built given the increase in population.
- 12.3 More generally, there is increasing recognition of the commercial advantages in raising the design, efficiency, heritage and landscape quality of schemes. This is as a result of work within such organisations as the Homes and Communities Agency (HCA) and the Commission for Architecture and the Built Environment (CABE) to promote the delivery of sustainable, high quality architecture and townscape.
- 12.4 The existence of derelict and untidy buildings and sites can have a hugely negative impact on the surrounding area, deterring investment and affecting people's living environment. The Borough Council has been committed in tackling this problem for years. To date the Council has helped secure the refurbishment of Titan House on York Road, the Carnegie building, St Andrews Church and the Victoria Building on the Headland. Crown House was an unsightly building within the town centre, which has now been demolished and the site now allocated for creative industries. The Mayor has also shown his commitment to tackling the unsightly buildings in the borough through his list of problem buildings. The Mayor along with other council employees is working with the public and private sector to come up with solutions for those buildings. It is important to the regeneration of the urban fabric and image of Hartlepool that solutions are found to these difficult sites and buildings. The Borough Council has for some time been actively pursuing, and where possible, supported and the owners of such buildings and sites in order to secure improvements and new uses. The Council will continue to do this where budgets allow, while utilising available planning and compulsory purchase powers where necessary.
- Planning Policy Statement 1 - Delivering Sustainable Development (2005)
- 12.5 Planning Policy Statement states that planning authorities should plan positively for the achievement of high quality and inclusive design for all development, including individual buildings, public and private spaces and wider area development schemes. High quality and inclusive design should create well-mixed and integrated developments which avoid segregation and have well-planned public spaces that bring people together and provide opportunities for physical activity and recreation.

New development should function well and add to the overall character and quality of the area over the lifetime of the development, reinforce local distinctiveness and address the access needs for all members of the community.

Planning Policy Statement 1 supplement - Climate Change and Planning (2007)

- 12.6 Planning Policy Statement 1 states that new developments should take account of landform, layout, building orientation, massing and landscaping to minimise energy consumption, including maximising cooling and avoiding solar gain in the summer; and, overall, be planned so as to minimise carbon dioxide emissions through giving careful consideration to how all aspects of development form, together with the proposed density and mix of development, support opportunities for decentralised and renewable or low-carbon energy supply. New developments should provide public and private open space as appropriate so that it offers accessible choice of shade and shelter, recognising the opportunities for flood storage, wildlife and people, provided by multifunctional greenspaces and give priority to the use of sustainable drainage systems, paying attention to the potential contribution to be gained to water harvesting from impermeable surfaces and encourage layouts that accommodate waste water recycling.

Circular 01/2006 Design and Access Statements

- 12.7 Design and Access Statements were introduced as a statutory requirement for submission with planning applications and applications for listed building consent on the 10th August 2006.

Design and access statements are documents that explain the design thinking behind a planning application. For example, they should show that the person applying for permission (the applicant) has thought carefully about how everyone, including disabled people, older people and very young children, will be able to use the places they want to build. Design and access statements

A design and access (DAS) statement is a short report accompanying and supporting a planning application. A DAS should explain the design principles and concepts that have been applied to particular aspects of the proposal – these are the amount, layout, scale, landscaping and appearance of the development.

All planning application except householder applications (except in World Heritage Sites, conservation areas or requiring listed building consent) or applications for material change of use (unless it also involves operational development), if DAS

The Council supports the requirement for planning applications and expects a high standard of submission to support a planning application.

Code for Sustainable Homes (2006)

- 12.8 The Code for Sustainable Homes is an environmental assessment method for new homes based upon BRE Global's Ecohomes and contains mandatory performance levels in 7 key areas. The Code aims to protect the environment by providing guidance on the construction of high performance homes built with sustainability in mind. The Code has a scoring system of six levels. The different levels are made up by achieving both the appropriate mandatory minimum standards together with a proportion of the 'flexible' standards. The Code became operational in England in April 2007 and a Code rating for new build homes became mandatory from 1st May 2008. Since May 2008 all new homes are required to have a Code rating against the Code and for a Code certificate (which had to be included in the old Home Information Pack). This only applies to those new homes where the Council has received a building notice, initial notice or planning application after 1st May 2008. Homes not assessed against the Code must include a nil-rated certificate of non-assessment in the HIP.

12.9 The governments proposed code levels and time of implementation are set out below :

Table 12 Code level target dates

Code level	Social housing/public funded housing	Privately funded developments
CSH level 3	2008	2010
CSH level 4	2011	2013
CSH level 6	2015	2016

Crime & Disorder Act 1998

12.10 The Crime & Disorder Act 1998 obliges local authorities to consider the implications of their actions on crime and disorder and this included the determination of planning applications.

Safer places: the planning system & crime prevention (2004, ODPM and the Home Office)

12.11 The document sets out measures that can be used to achieve crime reduction and prevention together with achieving good design through the planning system.

Secure by Design guidance

12.12 Safety and security are important matters to be taken into account in the planning system. Creating a safe, secure, and pleasant environment in Hartlepool is an important objective of the Council and it is important that consideration of measures for community safety should be an inherent part of the design of development proposals. Secured by Design is the official Police initiative supporting the principles of 'designing out crime' by use of effective crime prevention and security standards for a range of applications.

The Building Research Establishment's Environmental Assessment Method (BREEAM)

12.13 Building Research Establishment Environmental Assessment Method (BREEAM) is a widely recognised quality assurance scheme that assesses the environmental performance of non residential buildings. Both are linked closely to Building Regulations.

12.14 The initial targets of Level 3 of the CSH and a BREEAM rating of 'very good' are cost effective and achievable in the short term. In the longer term, as the development costs of sustainable homes and buildings are reduced by economies of scale and improved knowledge and technology, higher standards are set. The Government consulted on the definition of zero carbon for domestic and non-domestic properties in December 2008. Further information relating to carbon reduction can be found in the Government's paper 'Building a Greener Future: Policy Statement' (2007), and Part L of the Building Regulations.

Consultation Feedback on the preferred options (2010)

12.15 A number of respondents made direct comments in relation to the Built Environment policy whilst the inclusion of the policy was supported over all, particular reference was made to the lack of detail surrounding the historic environment. Other comments are listed below :

The following points were raised:

- The Secretary of State objects as it is conflict with PPS1, in relation to design and access statements. It should be clear about the need for design and access statements and give an indication about the different factors which would influence the density of development e.g. proximity of public transport.
- Natural England and One North East suggested strengthening the policy in relation to sustainable design and construction, landscape features and bio diversity and geo diversity

- Association of North East Councils would welcome references for a requirement for renewable energy measures on all new developments and sustainable urban drainage systems (SUDS) in new development.
- The Royal Society for the Protection of Birds consider that the policy but would benefit from a targeted biodiversity element.
- Spawforths and Yuill object to bullet points 13 (energy), 14 (water consumption), 16 (sustainable construction) and 17 (Code for Sustainable Homes and BREEAM). The Code for Sustainable Homes is a voluntary standard and as such it is unreasonable for the policy to make development adhere to the code.
- Smiths Gore suggest that a sustainability statement should be placed as a condition on the planning consent rather than being a requirement at the submission stage of the application.
- A Planning consultant stated that many of the requirements of emerging policy CS13 will be addressed through the development control process, particularly the Design and Access Statement, and also Building Regulations.

Sustainability Appraisal (January 2010)

- 12.16 The main findings of the Sustainability Appraisal relating to the issues and options that were proposed are detailed below :

This policy will have very strong environmental benefits, especially in the medium to longer term. It is likely that there will be strong economic and social benefits which are realised as a result of higher quality developments in the town in the future.

Although the policy touches on transport and access for all, it is considered that the policy could be strengthened through reference to new developments being built to incorporate sustainable transport choices which reduce the need to use the private car.

The policy needs to be altered to make reference to protecting and enhancing conservation areas and listed buildings. The provision of open space as part of new developments is critical to ensure a high quality built and natural environment and therefore this needs reflecting more strongly within the policy

Overall Preferred Option Justification

- 12.17 Development proposals will need to satisfy a set of general requirements which relate in varying degrees to the ultimate aim of improving the quality of life in Hartlepool.

- 12.18 The location of development sites can be key to delivering sustainable communities, new development will be located in areas that are served by a variety of modes of transport or have the potential to meet that requirement and have regard to the adequacy of car and cycle parking provision and servicing arrangements. Regard should also be given to the presence of any contamination on the land, if any contamination is present then remediation measures should be put in place.

- 12.19 The density of development should be appropriate to its location with higher densities more appropriate around transport hubs, areas with good walking and cycling links and areas served by a range of local facilities such as shops, play parks or green open spaces.
New development should be designed to take account of the existing constraints on the site, for example the adequacy of the infrastructure, the water supply system, the provision of surface and foul main drainage, any overhead cables and pipelines and any public rights of way that exist.

- 12.20 The design of new development should be of a high standard and be in keeping with the surrounding area, it should consider the built and natural environment that is located within and where possible enhance that area. New development proposals should consider any archaeological significance that the locality may have. The historic remains of the borough are important for educational purposes, for realising our past and cultural heritage and helping the economy within the borough.

- 12.21 New development should respect the amenity of surrounding occupiers of future users and not exclude any social groups. No development should reduce the quality of life for others and particular regard should be given to protecting the amenity of residents or users during times when they would expect peace and quiet. Ease of access and reducing crime and the fear of crime are priorities to ensure that all Hartlepool residents and visitors have a high quality of life and can enjoy a range of facilities.
- 12.22 All new development should help to achieve the government and the council's commitment to reducing CO2 emissions. New developments should be designed to a high level of energy efficiency and make best use of the environment in which they are located, be designed to minimise waste and promote recycling (including using locally sourced materials) and where possible, be flexible and allow a wide variety of possible future uses.
- 12.23 In certain areas the council has no control in preventing home owners carrying out alterations to their dwellings that may make them more unsustainable. However from the outset and with the use of the Code for Sustainable Homes the council's intention is to provide homes that are energy efficient, thus helping to tackle climate change and offer possible reduced bills to future residents.
- 12.24 A design related Supplementary Planning Document (SPD) is currently in the early stages of production. This will set out detailed design and sustainability guidance for new residential developments including extensions to existing dwellings. The SPD will be used as an aid by developers and council decision makers to ensure that the best designs, which reflect local history and characteristics as well as being as efficient as possible, are submitted at application stage and lead to a successful planning permission.

Preferred Option CS24: Built Environment

The Borough Council will seek to ensure high quality and sustainable design in all new developments seeking to mitigate against the effects of climate change. All new developments will be required to:

- **Be accessible by a range of transport, including walking and cycling, and have regard to the adequacy of car and cycle parking provision, servicing arrangements and highway safety in line with the engineering guide at the time**
- **Be at a density appropriate to its location, higher densities will be acceptable around transport hubs or in areas close to a range of facilities**
- **Be of an appropriate layout, scale, design, massing and height, which reflects and enhances the distinctive features and character of the area and improve the environment they are located within**
- **Take account of the effect on the amenities of existing occupiers of adjoining or nearby properties and the relationship with existing and proposed neighbouring land uses**
- **Enable safe and convenient access for all**
- **Have regard to the effect on existing trees, hedgerows and other landscape features, and should respect local landscape character**
- **Have regard to the need for the provision of open spaces, landscape features, shops, services and facilities**
- **Have regard to biodiversity and geological conservation interest features, and seek to incorporate additional biodiversity opportunities in the design of new developments where practical and viable and in accordance with Policy CS29**
- **Be developed in a way which minimises crime and the fear of crime, incorporating Secure by Design standards, as appropriate;**
- **Have regard to highway safety, Public Rights of Way and countryside access**

- Have regard to the adequacy of the infrastructure, including roads, the water supply system and the provision of surface and foul main drainage.
- Have regard to any high voltage overhead cables and gas, oil, water and other high pressure pipelines
- Have regard to archaeological remains and the historic environment
- Retain areas of open water, water courses and their margins
- Take account of the presence of any contaminated land within the site and its appropriate remediation
- Achieve a high standard of energy efficiency and make the best use of solar energy, passive heating and cooling, natural light and natural ventilation.
- Be designed to minimise water consumption and maximise water re-cycling,
- Be designed to provide life long building(s) that are flexible where design permits and allow a wide variety of possible future uses, where appropriate,
- Be flexible to changing needs of residents and by 2013 be in accordance with life time home standards
- Incorporate SUDS, sustainable construction and drainage methods and use locally sourced sustainable materials wherever possible
- Aim to minimise waste and promoting recycling, during both construction and occupation.
- ensure that the layout and design of new developments minimise energy consumption
- Required to be built to the quality standards of the code of Sustainable Homes rating applicable at the time (residential only).
- Required to All new non-residential developments will be completed to a Building Research Establishment Environmental Assessment Method (BREEAM) of 'very good' up to 2013 and thereafter a minimum rating of 'excellent' (non residential).

The policy will mainly be implemented through the development control process. Developers will be required to submit a sustainability statement with a planning application if the proposed development involves 10 or more dwellings or is over 500 sqm of floorspace. This statement should show how the sustainability standards are to be achieved on the development. Further information and advice on how to design buildings and spaces sustainably will be provided in a Supplementary Planning Document.

The Historic Environment

- 12.25 The historic environment is central to a town's culture and heritage. It helps to define its identity, provides a reminder of its historical formation and development and contributes towards economic development, regeneration and creation of sustainable communities. These areas and buildings help contribute to the quality of the built environment and help promote Hartlepool as an attractive place in which to visit and to live. Hartlepool has several locations and a significant number of buildings which are of special historic and architectural character on a local or national scale.
- 12.26 There are eight Conservation Areas across the Borough and 200 buildings which are listed as being of architectural or historic interest. Five of the conservation areas are located within the main built up area including the historic part of the Headland, Church Street, Grange, the Park area and Stranton. The other three cover the historic parts of Seaton Carew and the villages of Elwick and Greatham. Most of these areas have benefited from public sector investment in recent years in recognition of their intrinsic value and importance.
- 12.27 Each of these Conservation Areas and Listed Buildings has unique qualities and features which help to define their individual character. These may include groupings, orientation, massing and style of buildings; special architectural details such as windows, doors and shop front design; finishing materials, decoration and ornamentation; streetscape, trees, hedgerows, landscaping and boundary enclosure, views and vistas; and; particularly in the case of Listed Buildings, internal features which are of special architectural interest. In considering applications for development, alteration or demolition in these areas, it is important that these special features are preserved and enhanced and that the quality of design is of a high standard. This does not mean that no changes are to be permitted within Conservation Areas or to Listed Buildings of buildings of local interest, but it does require that great care should be taken to ensure that unsympathetic design and incompatible changes should not occur.
- 12.28 Buildings of Local Interest do not have statutory protection but their contribution within the Borough is also important to the character and sense of place for Hartlepool and every effort should be made to retain or enhance them. To identify and encourage protection of locally important heritage assets as well as raising the profile of local history and heritage and conserve local distinctiveness, the Borough Council intends to develop a Local List of buildings which make a significant contribution to local sense of place.
- 10.29 Over a period of years the Council has proactively supported and encouraged investment in conservation areas throughout the town aimed at preserving and enhancing their physical character, such investment often being part of wider regeneration initiatives. Areas such as Church Street and the Headland have been the focus of major regeneration programmes aimed at developing the tourism infrastructure, supporting economic growth and improving the living environment for local residents. Investment has included grants to property owners to carry out repairs and restoration to traditional features and public realm improvements. Large scale grants have also been used to support restoration and re-use of larger key vacant or underused buildings.
- Planning Policy Statement 5: Planning for the Historic Environment
- 12.30 PPS 5 sets out the national planning policy framework for delivering the Government's objectives relating to conservation and the historic environment. These objectives recognise the value of the historic environment and the contribution it makes to our cultural, social and economic life, including the central role of conserving our heritage assets and utilising the historic environment in creating sustainable places.
- 12.31 Policies seek to conserve and enhance the historic environment in a manner that promotes sustainable development, which protects important heritage features and contributes to our

knowledge of the past, but which supports positively managed change which enhances character, viability and sense of place of historic areas.

Conservation Area Appraisals

- 12.32 Conservation Area Appraisals are a means of assessing the key factors contributing to the appearance and character of existing and potential conservation areas and local authorities are encouraged to undertake Conservation Area Appraisals regularly. The elements of an area considered include such subjects as the historical development of the area, any archaeological significance, the building materials used, the character of any open spaces, and the quality and relationship of buildings, trees and landscaping. Conservation Area Appraisals are in place for Headland, Park and Grange. Visual Assessments are less detailed than Conservation Area Appraisals but provide a measure of assessment of the merits and character of an area and can be carried out more quickly and on a more regular basis. Visual Assessments have been completed for Seaton Carew, Church Street, Elwick and Greatham and a draft Visual Assessments is in place at Stranton.

Greatham Village Design Statement

- 12.33 The Greatham Village Design Statement was produced in 1999 by a group of Greatham residents with support the Borough Council, the Countryside Agency and Department of Environment and Development. The Design Statement was published following consultation with local residents and was adopted by the Borough Council as supplementary planning guidance within the Hartlepool Local Plan 2006. The Design Statement provides an assessment of the character of Greatham Village and includes detailed information on building design and style, architectural features and landscape character. The Statement sets out recommendations and guidelines relating to future development.

Consultation Feedback on Preferred Options (January 2010)

- 12.34 The following points were raised during the consultation period in response to the previous Preferred Options report:
- One respondent expressed strong support for the principles in Policy CS13 but concern relating to ensuring standards of design quality.
 - Some concerns were raised that the policy does not reflect the value of the historic environment, particularly archaeological sites and historic landscapes
 - It was suggested that the 'Built Environment' section should be changed to 'Built and Historic Environment'
 - There was a comment that a more explicit link should be made between conserving our heritage assets and utilising the historic environment in creating sustainable places
 - It was suggested that a Heritage DPD is produced to provide more guidance in relation to development affecting Conservation Areas and Listed Buildings
 - There was a request that the historical significance of the Headland area is fully considered with future planning applications

Sustainability Appraisal on Preferred Options (January 2010)

- 12.35 The Sustainability Appraisal concluded that the Built Environment policy would lead to strong environmental benefits especially in the medium to longer term with also strong economic and social benefits being realised as a result of higher quality developments in the town in the future. It considered that the policy was strong in terms of quality and design; however, it needs to be altered to make reference to protecting and enhancing conservation areas and listed buildings.

Overall Preferred Option Justification

- 12.36 Representations received through the consultation process together with recommendations in the Preferred Options Sustainability Appraisal (January 2010) expressed support for the inclusion of specific references and policies relating to the protection and enhancement of Conservation Areas and Listed Buildings.
- 12.37 Preserving and enhancing the towns heritage is important in terms of helping to maintain its unique character, enhancing the living/working environment, encouraging investment and tourism and supporting the development of sustainable communities. Hartlepool has eight Conservation Areas and 200 Listed Buildings which contribute to the richness and diversity of the town and it is important that the features that make them special are preserved and enhanced wherever possible.
- 12.38 Previous investment in key historic areas has produced a strong positive influence on the surrounding areas. Continuing to protect and enhance the historic environment is therefore important and the Preferred Option is intended to provide the policy framework to support and protect these areas. Any new development, alteration and demolition needs to be carefully managed to ensure that they have a positive impact on these areas and buildings. A high standard of design is expected for any new development in these areas in order to enhance their character and appearance and great care will be taken to ensure that unsympathetic design and incompatible changes of use do not occur. The Council will consider the future preparation of a Heritage Supplementary Planning Document (SPD) to provide further guidance and clarity on development relating to the historic environment and will take account of Conservation Appraisals, Visual Assessments and the Greatham Village Design Statement in determining applications for development, alteration and demolition.
- 12.39 Hartlepool Borough Council has also expressed its intention to produce a list of Buildings of Local Interest in recognition of the contribution those buildings make to the local sense of place. In order to protect and preserve buildings which are included on the list, consideration will be given to providing additional protection including the possible use of Article 4 Directions.

CS25 Conservation Area

The Borough Council will seek to preserve and enhance the character of the town's Conservation Areas. Proposals for development within conservation areas will need to demonstrate that they will preserve or positively enhance the character of the conservation area.

In determining applications within Conservation Areas particular regard will be given to the following:-

- i) The scale and nature of the development should be appropriate to the character of the particular conservation area;
- ii) The design, height, orientation, massing, means of enclosure, materials, finishes and decoration proposed should be sympathetic to the character and appearance of the conservation area;
- iii) All substantial and worthwhile original features such as walls, gateway entrances and architectural details, which should be retained;
- iv) Existing trees, hedgerows and landscape features should be retained and appropriate landscaping improvements incorporated into design proposals
- v) Important views and vistas within the conservation area should be protected
- vi) Car parking, where required should be located, designed and landscaped in such a way as to minimise impact on the character and appearance of the area.
- vii) Guidance provided in relevant Conservation Appraisals, Visual Assessments and Design Statements

Proposals for demolition within Conservation Areas will be carefully assessed in order to avoid loss of important features and buildings but to encourage removal of unsympathetic later additions.

Where there are controls on demolitions in conservation Areas, the Borough Council will only permit the demolition of those buildings and other features and structures if it can be demonstrated that:

- i) The removal would help to preserve or enhance the character or appearance of the Conservation Area, or
- ii) Its structural condition is such that it is beyond reasonable economic repair

Where any demolition is involved, the Borough Council will require that detailed proposals for the satisfactory re-development of the site are committed before demolition takes place.

Developments in the vicinity of conservation areas should take account of the character of the conservation area through appropriate design, scaling, siting and use of materials. Where there are important views into and out of a conservation area these should be preserved or enhanced.

CS26 Listed Buildings

The Borough Council will seek to preserve and enhance the towns Listed Buildings by preventing unsympathetic alterations, encouraging physical improvement work, supporting appropriate and viable proposals to secure their re-use and restoration and resisting unsympathetic alterations.

In determining applications for Listed Building Consent for alteration or partial demolition the following criteria will be applied:-

- i) Traditional materials and sympathetic designs which are in keeping with the character and special interest of the building should be used.
- ii) Internal features and fittings which comprise an integral part of the character and special interest of the building should be retained where practical
- iii) Alterations to part of a Listed Building will only be approved where it can be demonstrated that the main part of the building will be preserved and enhanced and where no significant features of special architectural or historic interest are lost.

Works to buildings situated adjacent to a Listed Building and those buildings which affect the setting of Listed Buildings should be sympathetically designed and in keeping with the character and special interest of the Listed Building.

The Borough Council will consent to the demolition of a Listed Building only in exceptional circumstances, where it has been clearly demonstrated that:-

A) In the case of total demolition:

- i) There is no appropriate or viable use for the building
- ii) The fabric of the building is beyond reasonable economic repair
- iii) Preservation in some form of charitable or community ownership is not possible or suitable, and
- iv) Redevelopment would produce substantial benefits for the community

B) In the case of partial demolition:

- i) The part of the building to be demolished is beyond economic repair, and
- ii) The partial loss of the structure and/or architectural features will not materially detract from the special character of the building.

Where any demolition is involved, the Borough Council will require that detailed proposals for the satisfactory re-development of the site are committed before demolition takes place.

CS27 Locally Important Buildings

The Borough Council intends to produce a List of Locally Important Buildings which are considered to be worthy of preservation as a means of emphasising local character and sense of place. In determining applications for planning permission that affect entries on the list of locally important buildings, particular regard will be had to the following:

- i) The historic or architectural importance of the building
- ii) Features which contribute significantly to the character of the building
- iii) The group value
- iv) Its contribution to the appearance of the locality
- v) Its scarcity value to the Borough
- vi) The scale, nature and importance of the proposed redevelopment, and
- vii) The design and means of enclosure of the proposal.

There will be a presumption against the demolition of those buildings included on the list of locally important buildings and the removal of their important features. Demolition or alteration will only be supported if it can be demonstrated that it would help preserve or enhance the character of the site or the setting of other buildings nearby. The Council may consider the use of Article 4 Directions in order to protect the integrity of buildings included on the list.

THE NATURAL ENVIRONMENT

Green Infrastructure

- 12.40 Green Infrastructure is now widely recognised as providing the environmental foundation that underpins the function, health and character of urban communities. Green Infrastructure is a strategically planned and delivered network of high-quality green spaces and environmental features including parks, open spaces and environmental features including parks, open spaces, woodlands allotments and private gardens. It should be designed and managed as a resource capable of delivering a wide range of environmental and quality of life benefits for communities.
- 12.41 Open space form an integral part of Green Infrastructure greatly to quality of life and desirable place to live and a more sustainable community. Providing the appropriate leisure and recreation facilities through provision of sufficient open spaces contributes greatly to developing healthier lifestyles for Hartlepool residents. Greater access to open space and facilities can improve their usage and quality of life for residents. One of the greatest challenges facing Hartlepool is to create attractive places and environments that offer a high quality of life that will encourage people to stay in the town as well as attract new investment. Provision of open space and recreation and leisure facilities are key elements within the Sustainable Community Strategy Environment and Culture and Leisure themes.
- 12.42 The green infrastructure in Hartlepool is made up of wildlife sites, land for recreational and leisure use and other 'green' areas including open space, cemeteries, parks etc. The provision of outdoor playing space within new developments and the retention, protection and management of green space in existing developments is an issue within Hartlepool as the need for housing sites grows. If green space is provided within/near housing it reduces the need for the private car therefore benefiting the environment through reduced CO2 emissions. Protecting open space including areas such as allotments within Hartlepool to provide sustainable communities is also an important issue for the town as green areas remain an important environmental benefit for Hartlepool. These improvements can increase opportunities for wildlife, recreation and access routes thereby contributing to climate change adaptation and a better quality of life. Green Infrastructure development can play a key role in alleviating flood risk through provision of carefully planned new flood facilities such as balancing ponds or flooded areas. This again can be delivered to enhance biodiversity and recreation opportunities.
- 12.43 To make the best of existing and new green infrastructure, there is a need to make sure that whole communities, including those with mobility and visual impairments can easily access these areas through a sustainable access network.
- 12.44 Attention needs to be given to the development of local facilities in sustainable locations and specifically an increase in open space provision for young people in areas of need. An open space assessment of Hartlepool has been carried out and it identified deficiencies and surpluses in provision of open space within the town. It provided a comprehensive assessment of the Borough's open spaces by addressing their accessibility, quality and quantity. Supporting the delivery and provision of accessible recreational and leisure facilities can increase social cohesion and promote healthier lifestyles in the town.
- Tees Valley Green Infrastructure Strategy (2008)
- 12.45 The Tees Valley Green Infrastructure Strategy provides a strategic approach to developing a network of green corridors and green places within the Tees Valley. The concept of green infrastructure offers a way of achieving closer links between environmental improvement and the major development projects proposed in Hartlepool and the wider Tees Valley. It can also provide an opportunity to adapt to climate change by influencing development and the use of land.

12.46 Green infrastructure planning involves the provision of strategically planned networks that link existing (and proposed) green spaces with green corridors running through urban, suburban, urban fringe and rural areas. Through the maintenance, enhancement and extension of these networks multi-functional benefits can be realised for local communities, businesses, visitors and the environment.

12.47 The strategy's main strategic objectives in relation to this policy are:

- enhance the quality of place and environment for existing and future communities and potential investors;
- provide an enhanced environmental setting and context for new development, regeneration projects, and housing market renewal initiatives and produce schemes of high quality design;
- create and extend opportunities for access, recreation and enhancement of biodiversity, and
- mitigate against the effects of climate change.

PPG17 Audit and Assessment Open Space, Sport and Recreation (2008)

12.48 This borough wide audit is based on the three Neighbourhood Consultative Forum areas. The document provides comprehensive assessments of the following categories of open space:

- Urban parks and gardens
- Amenity greenspace
- Play areas
- Outdoor sport facilities (including schools where there is public access either formally or informally)
- Green corridors
- Natural and semi natural greenspaces
- Allotments
- Churchyards and cemeteries
- Common land
- Civic spaces

Table 13: Proposed standards and provision within the North, Central and South Neighbourhood Consultative Forum Areas

Category	Proposed Quantity Standard (ha./1000 pop)	North Provision	Central Provision	South Provision
Parks and Gardens	0.7	0.01	1.66	0.27
Natural & Semi-Natural	1.9	1.46	0.45	9.01
Amenity Greenspace	1.0	1.16	0.58	1.63
Allotments	26.1 plots per 1000 households	-147.3	41.1	105.7
Children's Play	0.2 – 0.3 ha per 1000 people	0.06	0.07	0.03
Churchyards and Cemeteries	0.47	0.72	0.54	0.07
Outdoor Sports facilities (playing pitches)	1.23	1.02	1.29	1.18

*Shaded Black – Provision levels below standard

*Shaded Grey – Provision levels above standard

Parks and Gardens

- 12.49 The study recommends that Hartlepool should set its quantity standard for parks and gardens at 0.7 hectares per 1000 population. Table 1 demonstrates the shortfall in the North and South Forum areas. The central forum area has by far the largest proportion of parks (88%), however this figure reflects the relative size of Summerhill compared to other sites. In terms of quality standards the assessments suggest that Ward Jackson Park should be the benchmark for other parks to meet.

Natural and Semi Natural Green Spaces

- 12.50 These are spaces which are defined as “land, water and geological features which have been naturally colonised by plants and animals and which are accessible on foot to a large number of residents.” In Hartlepool the provision of these spaces is 2.39 hectares of local nature reserves per 1000 population which is well above the suggested national levels of 1 hectare per 1000 population. However provision is heavily weighted to the south forum area. In quantity terms the study shows a deficit in both the central and northern area.

Green Corridors

- 12.51 The study identified 29 corridors within Hartlepool covering a total area of 98.2 hectares. It is suggested that the benchmark green corridor should be Rossmere Way. No provision standard is set in line with the guidance contained in the companion guide to PPG17.

Amenity Greenspace

- 12.52 This is open space whose primary purpose is to improve and enhance the appearance of the local environment. The minimum size of amenity greenspace should be 0.1 hectares – roughly the size of two tennis courts. Compared to the above quantity standard there is an overall surplus of 5.97 hectares across Hartlepool with only the central area having a deficit (14.89 hectares).

Allotments

- 12.53 There are currently 22 allotment sites, including private provision, in Hartlepool with 1044 plots in total. Current provision equates to 26.1 plots per 1000 households compared to a National Society of Allotment and Leisure Gardeners target of 20/1000 households,

compared to an average for England of 15 per 1000 households. In terms of plot provision the north has a deficit of 147.3 plots which is offset by over provision in the central and south areas.

Children's Play

- 12.54 Area provision in relation to total population is 0.05 hectares per 1000 population. The National Playing Field Association (NAPFA) standard for children's play is 0.2-0.3 hectares per 1000 population. The quantity standard generates a deficiency of 11.39 hectares of provision across Hartlepool. This comprises 4.56 hectares of equipped play space and 6.83 hectares of informal play space. There is a deficit in all three sub areas.

Churchyards and Cemeteries

- 12.55 An ongoing need for some 115 grave spaces per annum has been projected. Churchyards and cemeteries also have an important role to play in the promotion of wildlife and biodiversity.

Civic Spaces

- 12.56 No provision standard is proposed in the PPG17 assessment however it is recognised that they play an important part in the urban design of areas.

Outdoor Sports Facilities

- 12.57 The overall provision within Hartlepool is 1.6 hectares per 1000 population. The NPFA promoted a standard of between 1.6 and 1.8 hectares/1000 population. When these recommended standards are applied there is a deficiency of 12.27 hectares across the Borough. This equates to a deficit of 8.49 hectares in the Central area and 5.06 hectares in the South area, with a small surplus of 0.88 hectares in the North.

Tees Valley Green Infrastructure Strategy (2008)

- 12.58 The Tees Valley Green Infrastructure Strategy provides a strategic approach to developing a network of green corridors and green places within the Tees Valley. The concept of green infrastructure offers a way of achieving closer links between environmental improvement and the major development projects proposed in Hartlepool and the wider Tees Valley. It can also provide an opportunity to adapt to climate change by influencing development and the use of land.

- 12.59 Green infrastructure planning involves the provision of strategically planned networks that link existing (and proposed) green spaces with green corridors running through urban, suburban, urban fringe, and rural areas. Through the maintenance, enhancement and extension of these networks multi-functional benefits can be realised for local communities, businesses, visitors and the environment.

- 10.60 The strategy's main strategic objectives in relation to this policy are:

- enhance the quality of place and environment for existing and future communities and potential investors;
- provide an enhanced environmental setting and context for new development, regeneration projects, and housing market renewal initiatives and produce schemes of high quality design;
- create and extend opportunities for access, recreation and enhancement of biodiversity, and
- provide a buffer against the effects of climate change.

Consultation Feedback on Preferred Options (January 2010)

- 10.61 There were 24 responses which made reference to this policy. Many of the responses suggested small additional points to be made to the policy. A summary of the general points that were raised, on this specific preferred option, during the consultation are illustrated below:

- Support the need to protect and manage green spaces
- Encourage the Authority to consider the development of a Green Infrastructure Strategy.
- Concern that new Open Spaces can be a focus for crime and anti social behaviour.
- Need to clearly identify green belt to protect the villages/rural area in the same way the strategy identifies green wedges into the urban area.
- Should explore the use of multifunctional open spaces that can incorporate sustainable surface water drainage to help surrounding drainage areas.
- We suggest the heading of this section and policy should be entitled 'Green Infrastructure' rather than Green Spaces'.
- Research has shown that nature relaxes, refreshes, educates, stimulates and makes people more productive in the workplace. This aspect should be more fully reinforced in this section.
- CS14 should explicitly commit to addressing the shortfalls in provision and identify how the Council will achieve this.
- It should also be noted that the historic environment is an integral component of Green Infrastructure, and an integral part of the sustainability agenda.

Sustainability Appraisal on Preferred Options (January 2010)

- 10.62 The main findings of the Sustainability Appraisal relating to the Preferred options that were proposed are detailed below :
- This policy will have very positive environmental impacts and will ensure that important green spaces are protected and enhanced for residents and future generations to enjoy.
 - The provision of such green spaces will also have some economic and social benefits such as attracting new investment and enhancing community cohesion.

Overall Justification in Selecting the Preferred Option

- 10.63 The Council's Preferred Option is to safeguard the green infrastructure of the Borough from inappropriate development and actively to improve the quantity and quality of parks, green corridors and recreation and leisure facilities across the Borough in line with the findings and recommendations from the PPG 17 Audit and Assessment and the strategic objectives of the Tees Valley Green Infrastructure Strategy. Specifically the Borough Council is committed to the creation of new green wedges as part of new housing developments at Claxton and Wynyard. A new Green Wedge is proposed at Golden Flatts which will help alleviate flooding along the still watercourse and act as a buffer between industrial land to the south and residential areas to the north. Another priority for Green Infrastructure is to promote the extension of the Middle Warren Green Wedge through the Hospital site and vacant land at Oaksway. This would effectively bring this Green wedge into the heart of the town. This proposal is predicated on the Hospital site becoming available during the plan period. All of these new and proposed extended green wedges have potential to provide major improvements for local biodiversity and recreation.

Preferred Option CS28:- Green Infrastructure

The Borough Council will safeguard open space from inappropriate development and will work with partners actively to improve the quantity and quality of green infrastructure and recreation and leisure facilities throughout the Borough based on evidence of local need. Over the plan period this will mean addressing the identified shortfall in the amount or quality of green infrastructure.

This will include:

- **Strategic Green Wedges**

- **Important landscape corridor areas, particularly the main transport approaches and the coastal margins.**
- **Parks and Civic Spaces**
- **Play Areas**
- **Sports pitches**
- **Trees and Woodland**
- **Other public open space identified in the PPG17 Assessment.**

Specifically the Council will require the creation of new Green Wedges as part of the proposed housing developments at the South Western Extension and Wynyard Woods in conformity with policies CS1, CS2, CS5, CS8 and CS29 as shown on the key diagram.

The Council is also committed to the creation of a new green wedge on land formerly allocated for industry at Golden Flatts and Brenda Road East in conformity with policies CS1, CS2 and CS29 as shown on the key diagram.

The Council will encourage the extension of the Middle Warren Green Wedge eastwards through the existing Hospital Site and Oaksway as an environmental priority. This will be dependant on the Hospital site being vacated during the plan period and be in conformity with policies CS1, CS2 and CS29 as shown on the key diagram.

The new and proposed extended green wedges are identified on the proposals map.

The Borough Council will investigate the potential for improving access to open spaces with new cycleways and footpaths in conformity with Preferred Option CS3 and CS4.

The loss of green infrastructure will be resisted. In exceptional circumstances green infrastructure will only be considered for other uses where it can be demonstrated that it no longer has any recreational, wildlife or amenity function, and where the local need has already been met elsewhere.

The loss of incidental open space will be resisted except where:

- i) it can be demonstrated that the area of open space is detrimental to the amenity of neighbours or too small or difficult to maintain;**
- ii) it does not contribute significantly to visual or recreational amenity and where need is met elsewhere in the locality.**

Where appropriate, SPDs and masterplans will be prepared to provide more detailed guidance on the safeguarding and improving of green infrastructure.

Safeguarding and Enhancing the Natural Environment

- 10.64 Hartlepool has developed primarily because of its coastal location. Much of the coastline is important for its wildlife interest, but it is also an important asset in terms of providing opportunities for recreation and tourism. The Coast also has geological conservation importance, including the national importance of Hartlepool Submerged Forest SSSI. Hartlepool has wildlife sites of importance ranging from international to locally important designations.
- 10.65 Part of the Tees estuary and much of the coastline of Hartlepool is designated as Special Protection Areas and Ramsar sites, which are of international importance. Hartlepool has four nationally important sites or Sites of Special Scientific Interest (SSSIs) located within the Borough and four located partially within the Borough. Currently there are six local nature reserves and 43 Local Wildlife Sites and 6 Local Geological Sites located in the Borough.

- 10.66 The landscape character of Hartlepool's countryside is split between the Durham Magnesian Limestone Plateau to the north and the Tees Lowlands to the South. The Durham Magnesian Limestone Plateau has a gently undulated landscape with a relatively open character. At the very north of the Borough Thorpe Bulmer Dene cuts into the landscape from the coast. The Tees lowlands are broad low-lying and gently undulating farmland. The Tees Forest area covers much of the open landscape of the Borough.
- 10.67 Key components of the Green Network are the Green Wedges at How Beck Middle Warren, Summerhill/Burn Valley and Owton Manor which extend from the open countryside to the heart of the town. They provide convenient and extensive amenity open space and easy access to the countryside. The green wedges offer major opportunities for improving the overall environment of Hartlepool, for providing recreational, sporting and leisure uses and also for creating valuable links to wildlife.
- 10.68 The Borough Council, together with the Environment Agency and the water providers are committed to protecting water resources. It is of utmost importance that the aquifer which provides the Borough's drinking water and watercourses are protected from contamination from pollutants.
- 10.69 An issue that is becoming increasingly important for coastal settlements such as Hartlepool is "coastal squeeze". It is caused by a rise in sea levels and occurs when the coastal strip becomes narrower and is in effect squeezed between the sea and land. For Hartlepool it will have implications for flood defences, coastal erosion and effects on sites designated of international and national importance for biodiversity. These issues are dealt with in the Shoreline Management Plan II which looks at the evolution of the coast over time and how best to manage this change to ensure the greatest environmental, social and economic benefit.

Planning Policy Statement 9 Biodiversity and Geological Conservation (2005)

- 10.70 PPS9 sets out planning policies on protection of biodiversity and geological conservation through the planning system.
- Specifically the Core Strategy will
- (i) indicate the location of designated sites of importance for biodiversity and geodiversity, making clear distinctions between the hierarchy of international, national, regional and locally designated sites; and
 - (ii) identify any areas or sites for the restoration or creation of new priority habitats which contribute to regional targets, and support this restoration or creation through appropriate policies.
 - (iii) promote opportunities for the incorporation of beneficial biodiversity and geological features within the design of development.

Tees Valley Local Biodiversity Action Plan (1999)

- 10.71 The Tees Valley Local Biodiversity Action Plan is endorsed by the council as providing the future basis for decisions on nature conservation in the Borough. The plan highlights where action is necessary and enables the targeting of resources to conserve and enhance biodiversity through local partnerships.

Tees Forest Community Forestry Strategy (2000)

- 10.72 This strategy is primarily concerned with improving tree cover in the rural area and providing better quality and accessible countryside on the urban fringe. The Local Management Zone 1 provides a local strategy for the Hartlepool Rural Fringe.

Hartlepool Landscape Character Assessment (2000)

- 10.73 This landscape assessment represents a detailed analysis of the Hartlepool landscape, and provides a sound and reliable tool that can assist in the process of well-informed decision making regarding new development or the enhancing the natural environment.

River Tyne to Flamborough Head Shoreline Management Plan (2007)

- 10.74 This is a high level plan that provides a large-scale assessment of coastal evolution and presents a policy framework to address the risk to people and the developed historic and natural environment in a sustainable manner.

Consultation Feedback on Preferred Options (2010)

- 10.75 There were 23 responses which made reference to this policy, the majority of the responses were positive and most responses suggested minor amendments of the policy. A summary of the general points that were raised, on this specific preferred option, during the consultation are illustrated below:
- Does not really demonstrate the sequential approach to conserving biodiversity by first avoiding loss or harm before considering the need for mitigation or compensatory measures.
 - The chapter needs to be updated to refer to the new system of Local Sites (instead of SNCIs / RIGS).
 - CS15 should be modified so that policy responds to the hierarchy of conservation designations in PPS9, clearly protecting the interest features of statutorily protected sites and then also protecting and encouraging management of Local Sites in line with the Tees Valley BAP.
 - Concern that the housing allocations will have on local biodiversity.
 - All green land must be protected.
 - The Magnesian Limestone and the Sherwood Sandstone major/principal aquifers underlying the area must be protected.
 - Should also recognise the geological conservation importance of the coastline

Sustainability Appraisal on Issues & Options (2007)

- 10.76 The main findings of the Sustainability Appraisal relating to the Preferred options that the:
- 10.77 Policy has strong benefits in relation to the environmental criteria, although there are not any significant social or economic benefits with the exception of protecting these valuable areas for the benefit of future generations.

Overall Justification in Selecting the Preferred Option

- 10.78 The Council's Preferred Option is to protect and actively look to enhance national, Regional and Local designation sites of biodiversity and geodiversity. The focus of this will be driven by the Tees Valley Green Infrastructure Strategy, Tees Valley Biodiversity plan, the Shoreline Management Plan, the Hartlepool Landscape Character Assessment and the emerging Hartlepool Green Infrastructure Supplementary Planning Document. The Borough's water resources will be protected from contamination through new development.

Preferred Option CS29: Natural Environment

The Borough Council will look to protect, manage and actively enhance the biodiversity, geodiversity, landscape character and Green Infrastructure assets of the Borough. At the strategic level the Borough Council will seek to ensure that:

1. Any development proposals are in conformity with Preferred Options CS1.
2. Designated biodiversity and geodiversity sites based on the hierarchy of international, national, regional and locally designated sites will be protected and where appropriate enhanced and local nature reserves protected and positively managed. Designated sites will be identified on the proposals map.

3. There is continued development and improvement of wildlife corridors through continued working with partners to create and develop an integrated network of natural habitats including the delivery of the Tees Forest Plan.
4. Habitats are created, through new development to meet objectives of the Tees Valley Biodiversity Action Plan.
5. Protection is afforded to existing woodland of amenity and nature conservation value and in particular ancient semi natural woodland.
- 6 The Magnesian Limestone and the Sherwood Sandstone major/principal aquifers underlying the area provide the Boroughs drinking water and watercourses must be protected from contamination from pollutants resulting from development or redevelopment of brownfield land.
7. Any development proposals must have regard to Landscape Character.
8. Development has regard to the need to avoid exacerbating coastal squeeze and the evolution of the coast over time and incorporates measures to mitigate this where appropriate.

Where appropriate, SPDs will be prepared to provide more detailed guidance on the safeguarding and enhancing the borough's Natural Environment and Biodiversity.

Appendix 1: Glossary of Terms

Term	Abbreviation	Definition
Affordability		A measure of what housing is affordable to certain groups of households.
Affordable Housing		Affordable housing is housing designed for those whose income generally deny them opportunity to purchase houses on the open market as a result of the difference between income and the market cost of housing.
Circular		Central Government guidance
Code for Sustainable Home		A national standard for sustainable design and construction of new homes.
Commencement of development		The date at which work begins on site.
Community Facilities		A facility that can be used by all members of the community i.e. community centre, phone box etc.
Community Strategy		Provides the planning framework for all services in Hartlepool, including the regeneration and neighbourhood renewal activity. Sets out a long term vision and details the principles and 7 priority aims necessary to achieve the vision and improve services.
Commuted Sum		A sum of money paid by a developer to the local authority to provide a service or a facility, rather than the developer providing it direct.
Design and Specification		provides precise and explicit information about the requirements for a development design.
Developer Contributions		Relate to the provision of those items outlined within the Section 106 Legal Agreement ie those things that the developer is required to provide.
Development Plan Document	DPD	A local development document in the local development framework which forms part of the statutory development plan. The core strategy, documents dealing with the allocation of land, action area plans and the proposals map are all development plan documents.
Economic Viability Assessment		A means by which to assess the profitability of a scheme.
Financial contribution		A cash specific amount of money paid to the local authority.

Term	Abbreviation	Definition
Green Infrastructure		Green infrastructure involves natural and managed green areas in both urban and rural settings. It involves the strategic connection of open green areas and provides multiple benefits for people.
Hartlepool Local Plan		A Local Plan is a statutory document containing all the planning policies and standards that will be used to determine planning applications received by the Development Control Section. The plan is also intended to highlight areas where the council is seeking to encourage new development within the borough.
Homes and Communities Agency	HCA	The Homes and Communities Agency is the national housing and regeneration delivery agency for England. Our role is to create thriving communities and affordable homes.
Housing Market Renewal	HMR	An area allocated for improvements to the housing stock either by demolition and rebuild or by refurbishment.
Infrastructure		Can be many things and includes roads, rail, pipelines etc or social provision such as schools.
Intermediate Tenure		This type of housing, also known as Shared Ownership or Shared Equity, enables people to privately buy a share of a property being sold and pay a subsidised rent on the remainder.
Landuse		The use that exists on a certain area of land, various land uses could be residential, agricultural, open space etc
Local Area Agreement	LAA	LAA's are a three year agreement, based on local Sustainable Community Strategies, that sets the priorities for a local area between the Council and other key partnerships.

Term	Abbreviation	Definition
Local Development Framework	LDF	The overarching term given to the collection of Local Development Documents which collectively will provide the local planning authority's policies for meeting the community's economic, environmental and social aims for the future of the area where this affects the development and use of land and buildings. The LDF also includes the Local Development Scheme, the statement of community involvement and the Annual Monitoring Report.
Local Highway Network		All the roads within the Borough, ranging from the A19 down to local roads within housing estates.
Local Transport Plan	LTP	Describes the long-term transport strategy for the borough and sets out a programme of improvements to address the identified local transport problems.
Maintenance		The repair and upkeep of a product.
Major development		DChelp
Market Conditions		The prevailing performance of the economy across all sectors.
Masterplan		A detailed plan of the site and the type of development that would seek to be achieved for the whole site.
Off-site		An area not within the planning application boundary.
On-site		An area within the planning application boundary.
Open Market Value		The value of a product if advertised on the open market.
Open Space Assessment	OMV	An assessment of the quality and availability of open space within Hartlepool.
Pepper Potting		The principle of ensuring there is a spread of affordable housing throughout and overall development rather than all being provided in one specific area.
Piecemeal		Development that is carried out bit by bit.

Term	Abbreviation	Definition
Planning Condition		A requirement attached to a planning application to ensure that the development is of a high standard and to help mitigate against any implications an application may have. Conditions can relate to types of materials or assessments that may have to be carried out.
Planning Policy Guidance		Government documents providing policy and guidance on a range of planning issues such as housing, transport, conservation etc. PPGs are currently being replaced by Planning Policy Statements.
Planning Policy Statement		Planning Policy Statements Government documents replacing PPGs and designed to separate policy from wider guidance issues.
Planning Obligation		A legally binding agreement between the local planning authority and persons with an interest in a piece of land. Planning obligations are used to secure funds or works for significant and essential elements of a scheme to make it acceptable in planning terms. Planning obligations will have been set out in an agreement often known as a 'Section 106 Agreement' and may be used to prescribe the nature of development, to compensate for loss or damage created by development or to mitigate a development's impact on surrounding built and natural environment. Circular 5/2005 sets out the national policy that regulates these agreements.
Pre-application		The stage referred to prior to submission of an application.
Regional Economic Strategy	RES	The Regional Economic Strategy (RES) sets out how we are going to deliver greater and sustainable prosperity to all of the people of the North East over the period to 2016. It seeks to provide the underpinning economic conditions necessary to achieve the region's vision.
Regional Spatial Strategy	RSS	Statutory regional planning policy forming part of the Development Plan and prepared by the regional planning body. The Local Development Framework must be in conformity with the RSS.

Term	Abbreviation	Definition
Registered Social Landlord's	RSL	Registered Social Landlords are government-funded not-for-profit organisations that provide affordable housing. They include housing associations, trusts and cooperatives. They work with local authorities to provide homes for people meeting the affordable homes criteria. As well as developing land and building homes, RSLs undertake a landlord function by maintaining properties and collecting rent.
Rights of Way Improvement Plan	ROWIP	A long term spatial plan setting out actions that will improve the Local Access Network (including all public and permissive rights of way)
Section 106 Legal Agreement		Legally binding agreement entered into between a developer and the Council.
Section 278 Agreement		Where a development requires works to be carried out on the existing adopted highway, an Agreement will need to be completed between the developer and the Council under Section 278 of the Highways Act 1980.
Social Rented		Housing that is rented to a tenant by a Registered Social Landlord.
Specialist Industries		
Strategic Housing Market Assessment	SHMA	Identifies land for housing and assess the deliverability and developability of sites. Provides the evidence base to support the delivery of sufficient land for housing to meet the community's need for more homes.
Subsidy		A form of financial assistance paid to a business or economic sector.
Supplementary Note		Information which supports the development plan.
Supplementary Planning Document	SPD	A local development document providing further detail of policies in development plan documents or of saved local plan policies. They do not have development status.
Sustainability Appraisal	SA	Identifies and evaluates social, environmental and economic effects of strategies and policies in a local development document from the outset of the preparation process. It incorporates the requirements of the Strategic Environmental Assessment (SEA) Directive.

Term	Abbreviation	Definition
Sustainable		To maintain the vitality and strength of something over a period of time without harming the strength and vitality of anything else.
Sustainable Location		See Appendix 2
Tees Valley		Stockton, Hartlepool, Middlesbrough, Redcar and Cleveland and Darlington collectively known as the Tees valley
Tenure		Tenure refers to the arrangements under which the household occupies all or part of a housing unit.
Threshold		A value at which a contribution would be sought. For example if the threshold is 15 and a developer has a scheme for 15 houses they would be required to contribute.
Transfer Price		The discounted price at which a developer would transfer a property to a Registered Social Landlord.
Transport Assessment	TA	A Transport Assessment is a comprehensive and systematic process that sets out at an early stage transport issues relating to a proposed development and identifies what measures will be taken to deal with the anticipated transport impacts of the scheme.
Transport Statement	TS	A simplified or basic report in the form of a Transport Statement may be sufficient. A transport statement is appropriate when a proposed development is expected to generate relatively low numbers of trips or traffic flows and would have only a minor impact on transport.
Travel Plans		A Travel Plan is a package of measures to assist in managing the transport needs of an organisation. The main objective of a Travel Plan is to provide incentives for users of a development to reduce the need to travel alone by car to a site.

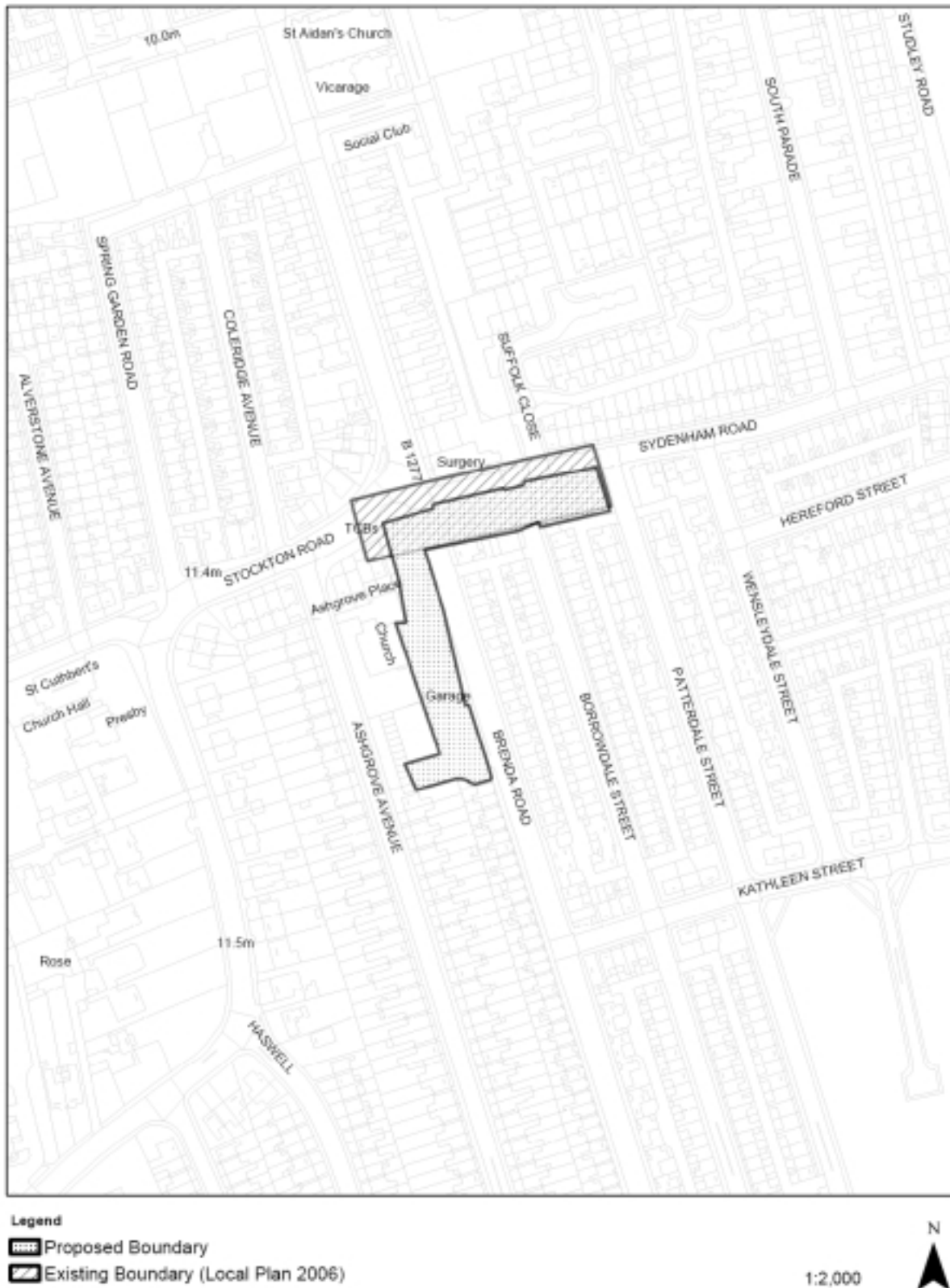
Appendix 2 Definition of a Sustainable Location

Sustainable locations are those which when developed will have positive impacts upon the existing and future community, will not have a negative impact upon the natural and built environment and will provide positive contributions to the local economy. These aspects of the location will be expected to be considered in an integrated way, not separately. Locations for development will be expected to meet the following criteria before and/or after development:

- Will not contribute to increased risk of flooding
- Will not have a negative impact upon neighbouring communities
- Will maximise the potential for renewable energy generation
- Is capable of including water efficiency, water recycling and rain water capture measures (to minimise the demand for potable water)
- Links into cycle/public paths and effective public transport links: providing access to education, training, employment, community centres, youth centres, play areas for children and youths, public open spaces and green spaces, sports facilities, space to grow food, local shops and/or the town centre, medical facilities and recycling facilities for example).
- Will provide pedestrian and cycle links to the services and facilities in neighbouring communities
- Is capable of development without detrimental impacts upon the ecological value of the site, public open spaces and play areas, surface and groundwater
- Will be a pleasant to live and/or work in, designed to benefit the existing and future community, and is accessible for the less physically able members of the community, pedestrians, cyclists and people using public transport
- Is well served by public transport, for example a bus stop within about 500 meters of all buildings which provide frequent services to local shops, services, education and employment areas.

APPENDIX 3 – Local Centre Boundaries

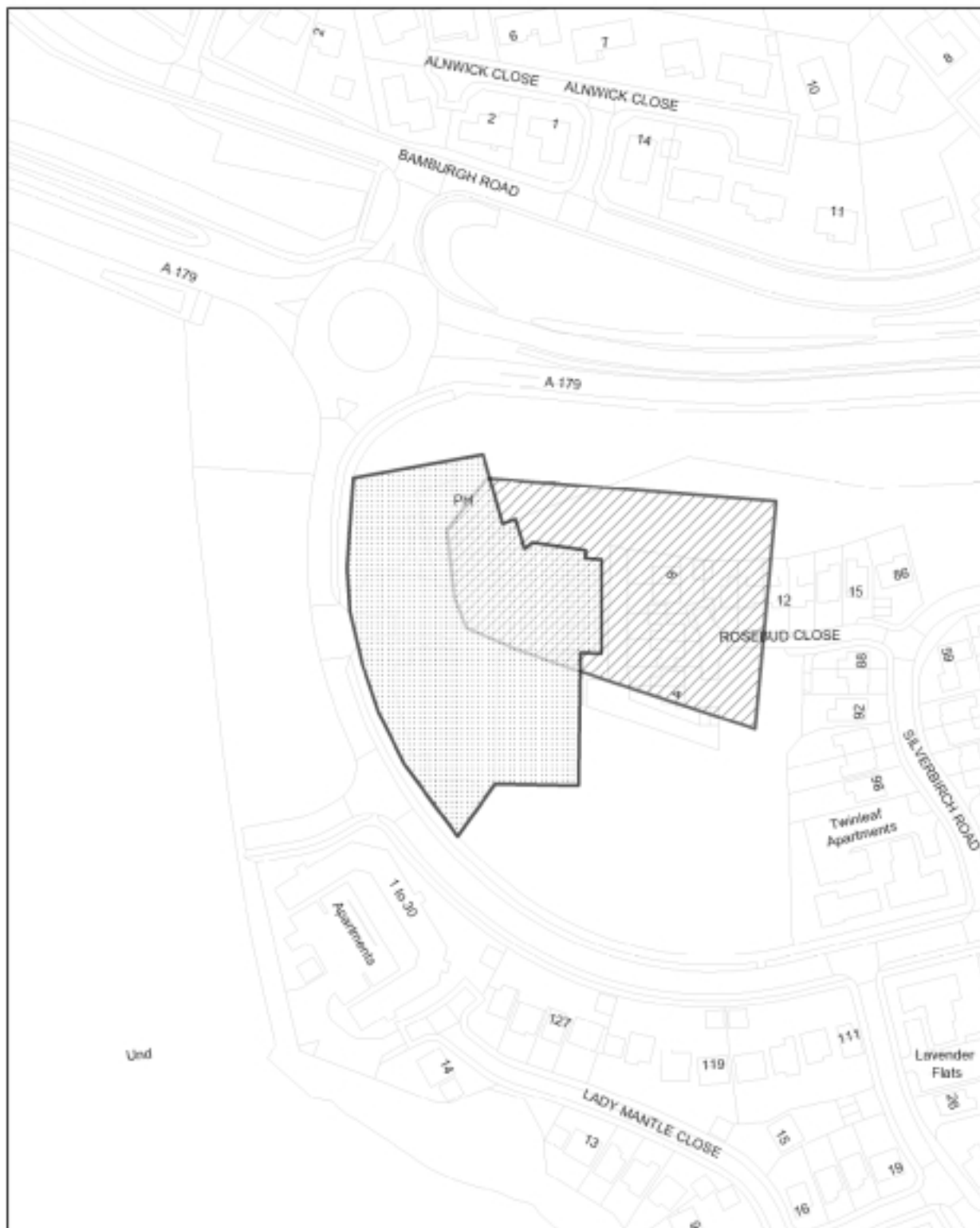
Brenda Road/Sydenham Road Local Centre





November 2010



Middle Warren Local Centre



Legend

-  Proposed Boundary
-  Existing Boundary (Local Plan 2006)

1:1,500





Murray Street Local Centre



Owton Manor East Local Centre



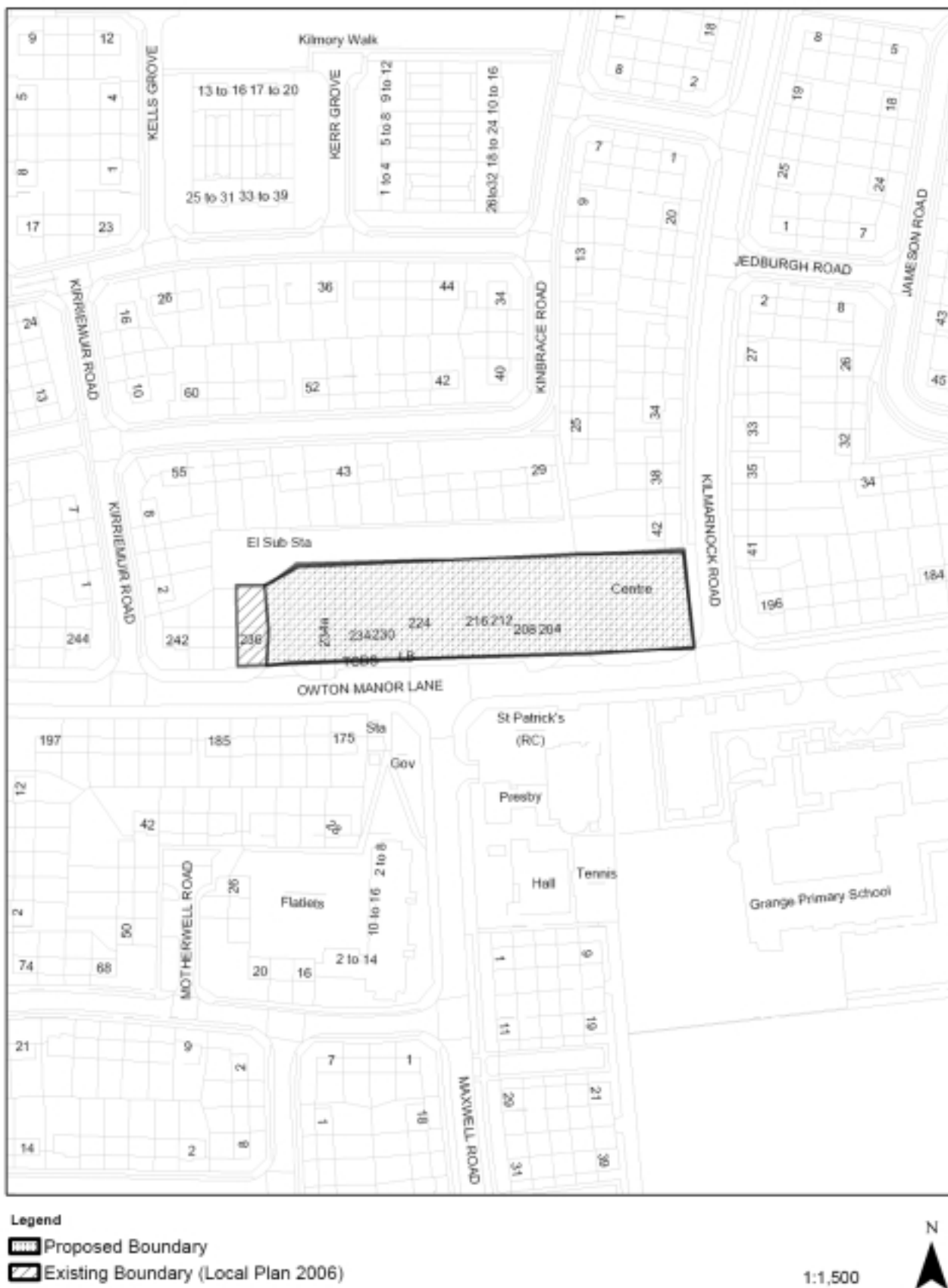
Legend

-  Proposed Boundary
-  Existing Boundary (Local Plan 2006)

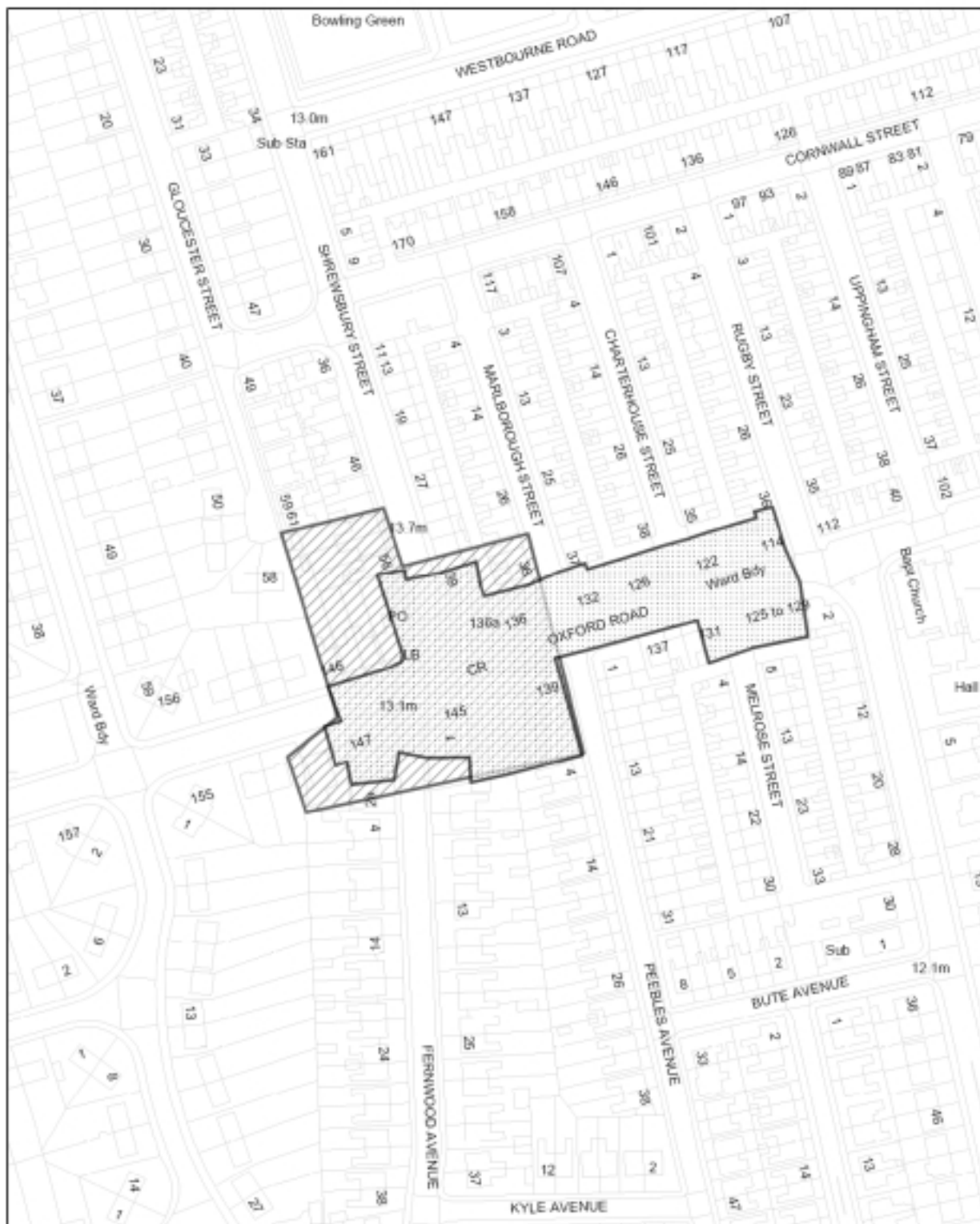
1:1,500





Owton Manor West Local Centre



Oxford Road Local Centre



Legend

-  Proposed Boundary
-  Existing Boundary (Local Plan 2006)

1:1,500



Raby Road/Chatham Road Local Centre



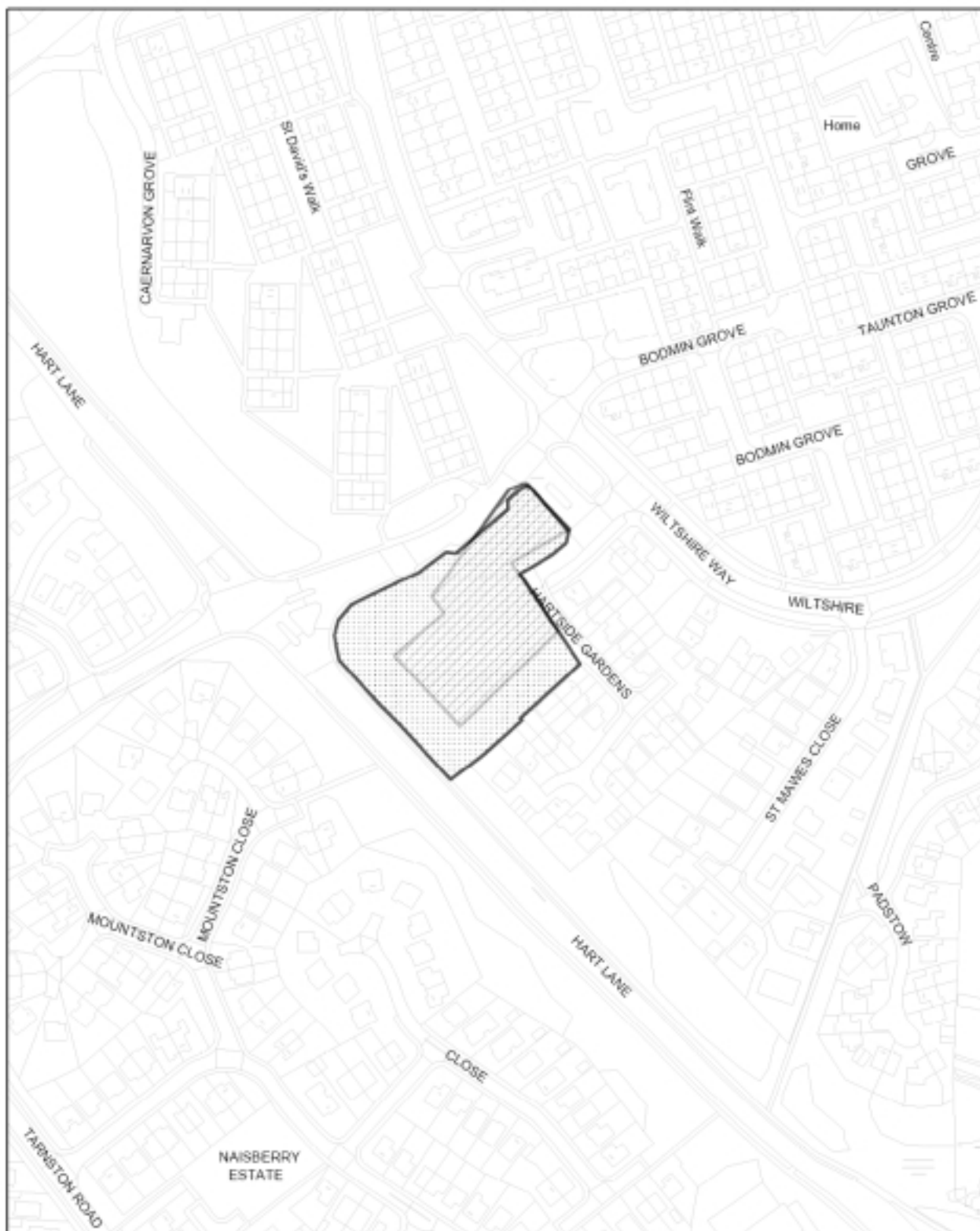
Legend

- Proposed Boundary
- Existing Boundary (Local Plan 2006)



1:1,500



Wiltshire Way Local Centre



Legend

-  Proposed Boundary
-  Existing Boundary (Local Plan 2006)



1:2,000



Wynyard Road Local Centre



Legend

-  Proposed Boundary
-  Existing Boundary (Local Plan 2006)

1:2,000



Belle Vue Local Centre



Appendix 4: Housing Sites with Planning Permission

CABINET REPORT

22 November 2010



Report of: Director of Child and Adult Services

Subject: BUSINESS TRANSFORMATION - SOCIAL
INCLUSION / VULNERABLE PUPILS / SEN
SERVICE DELIVERY OPTIONS REPORT

SUMMARY

1. PURPOSE OF REPORT

- 1.1 To inform Cabinet of the findings of the Social Inclusion/Vulnerable Pupils/SEN Service Delivery Options Review.

2. SUMMARY OF CONTENTS

- 2.1 This Service Delivery Option has an efficiency target of £57,200. This is 12% of the net budget of £474,849. The total budget for the areas covered by the SDO is £6,439,443.

The aim of this review is to:-

Provide co-ordinated services to support and raise the achievement of vulnerable pupils, those at risk of social exclusion and those with a range of additional needs. The services must be able to meet legislative requirements and comply with accepted practice standards as identified by the DCSF and Ofsted. The review needs to take into account the importance of early intervention in ensuring children and young people do not reach crisis points in their lives, leading to the need for even more specialist and costly support packages. The review will identify efficiencies as required as part of the council's business transformation programme.

The scope of services to be covered in the review include:

- Education of Vulnerable Groups including: Looked After Children, Young Offenders, Young Carers, Home and hospital teaching, Ethnic minority & mobile pupils, Teenage parents
- School attendance & employment licensing
- Equality and diversity in schools
- Child protection in schools
- Behaviour improvement in schools, exclusions and Anti-bullying

- Secondary B&A Partnership
- Pupil Referral Unit
- Hartlepool Inclusion Standard
- Special Educational Needs including hearing & visually impaired
- Educational Psychology; and
- Elective Home Education

The complex funding of services included in the scope of this SDO restrict capacity to identify savings on Council funded services. However all service areas have been reviewed and in some cases proposals are made to reshape the use of ring-fenced grants. The main ring-fenced grant is the Dedicated Schools Grant (DSG), the scope of which provides funding for, and must be spent on, Local Authorities (LAs) "Schools' Budget" as prescribed in the School Finance regulations. This covers delegated budgets to individual schools and also other education provision for children which LAs fund centrally. The LA's share of the grant is "ring-fenced" and cannot be used to support general spending.

A number of options have been identified for this review, relating to:-

- A) The Educational Psychology Team
- B) Learning Behaviour Team
- C) School Attendance Team
- D) Vulnerable Pupils Team
- E) Pupil Referral Unit Team
- F) Special Educational Needs Team
- G) School Improvement Co-ordinators
- H) Independent School Fees

A summary of the financial impact of all the preferred options is as follows:

	Dedicated Schools Grant (DSG)	General Fund	Net
A) Education Psychology Team - Option 1	+£60,000	-£60,000	£0
C) School Attendance Team- Option 1		-£14,000	-£14,000
D) Vulnerable Pupils – option 2	-£26,000	£0	-£26,000
D) Vulnerable Pupils – Home & Hospital	-£50,000	£0	-£50,000
E) PRU – option 2	-£19,000	£0	-£19,000
F) SEN Team – option 2	+£24,300	+£9,700	+£34,000
G) School Improvement Co-ordinators – option	-£35,000	£0	-£35,000
H) Independent School Fees	+£45,700	-£45,700	£0
Overall Financial Implications	£0	£110,000	£110,000

This service area has been particularly difficult to reconfigure in light of the uncertainty regarding the change of government and future policy implications

for the vulnerable groups and associated grants covered by this review. Whilst this review has been rigorous in identifying savings and going beyond the original target it has been possible to maintain current statutory duties in relation to all areas as identified in Stage 1.

3. RELEVANCE TO CABINET

- 3.1 The report details options for one of the reviews which form part of the Service Delivery Options Programme, is part of the Business Transformation Programme and is therefore relevant for a Cabinet decision.

4. TYPE OF DECISION

- 4.1 Key Decision Test (i) applies. Forward Plan CAS 76/10

5. DECISION MAKING ROUTE

- 5.1 Cabinet - 22 November 2010.

6. DECISION(S) REQUIRED

- 6.1 Cabinet are asked to:-
- (i) approve the recommended options as shown in section 4.0 of the main report.
 - (ii) agree the proposals for the achievement of the £110,000 savings which are summarised in section 6.0 of the main report.

Report of: Director of Child and Adult Services

Subject: BUSINESS TRANSFORMATION - SOCIAL
INCLUSION / VULNERABLE PUPILS / SEN
SERVICE DELIVERY OPTIONS REPORT

1. PURPOSE OF REPORT

- 1.1. To inform Cabinet of the findings of the Social Inclusion/Vulnerable Pupils/SEN Service Delivery Options Review.
- 1.2. A Service Delivery Option (SDO) review stage 1 was presented to DMT, CMT and Performance Board in Feb 2010. This outlined the objectives and scope of the review along with exclusions and constraints on the process. It identified key members of the review team.
- 1.3. This report summaries the deliverables of the team, outlines options that have been considered and identifies preferred options for consideration by Cabinet. The purpose of this report is to seek the approval for the recommended savings options that have been identified.
- 1.4. It is recognised that since this review process began there have been significant changes nationally which will impact on local services. The report is therefore being prepared against a background of ongoing financial uncertainty.

2. BACKGROUND

- 2.1. This Service Delivery Option has an efficiency target of £57,200. This is 12% of the net budget of £474,849. The total budget for the areas covered by the SDO is £6,439,443 (**Appendix 1**).
- 2.2. In considering the options presented for service delivery review it must be recognised that changes to managerial structures as well as significant political uncertainty have implications for the service areas and in particular the statutory responsibilities as identified as constraints on the review in the delivery plan. Under Business Transformation, the SEN Team and Educational Psychology Team are now located within the Performance & Achieve Division (**structure chart attached as Appendix 2**). As a result all service areas covered by this SDO are now in one division.
- 2.3. In considering the options presented for;

The aim of this review is to:-

Provide co-ordinated services to support and raise the achievement of vulnerable pupils, those at risk of social exclusion and those with a range of

additional needs. The services must be able to meet legislative requirements and comply with accepted practice standards as identified by the DCSF and Ofsted. The review needs to take into account the importance of early intervention in ensuring children and young people do not reach crisis points in their lives, leading to the need for even more specialist and costly support packages. The review will identify efficiencies as required as part of the council's business transformation programme.

2.4. The scope of services to be covered in the review include:

- Education of Vulnerable Groups including: Looked After Children, Young Offenders, Young Carers, Home and hospital teaching, Ethnic minority & mobile pupils, Teenage parents
- School attendance & employment licensing
- Equality and diversity in schools
- Child protection in schools
- Behaviour improvement in schools, exclusions and Anti-bullying
- Secondary B&A Partnership
- Pupil Referral Unit
- Hartlepool Inclusion Standard
- Special Educational Needs including hearing & visually impaired
- Educational Psychology; and
- Elective Home Education

2.5. The complex funding of services included in the scope of this SDO restrict capacity to identify savings on Council funded services. However all service areas have been reviewed and in some cases proposals are made to reshape the use of ring-fenced grants. The main ring-fenced grant is the Dedicated Schools Grant (DSG), the scope of which provides funding for, and must be spent on, Local Authorities (LAs) "Schools' Budget" as prescribed in the School Finance regulations. This covers delegated budgets to individual schools and also other education provision for children which LAs fund centrally. The LA's share of the grant is "ring-fenced" and cannot be used to support general spending.

2.6. Constraints on the Review

2.7. The Local Authority has a duty under **Education & Inspections Act 2006 Act** to make provision for excluded pupils. It is the duty of school governing bodies and local education authorities in sections 100 and 101 of the Education and Inspections Act 2006 ("the 2006 Act") to provide suitable full-time education for excluded pupils is to apply from the sixth school day of exclusion (regulations 3 and 4);

2.8. The Local Authority has a duty under section 39 of the **Crime & Disorder Act 1998** (5e) to identify a person nominated by the chief education officer appointed by the local authority under section 532 of the Education Act 1996.

Section 532 of the Education Act 1996 states the appointment of officers shall (without prejudice to the generality of the provisions of that Act) include the duty of appointing a fit person to be the chief education officer of the authority.

- 2.9. The Local Authority has a duty under Section 22 (3) (a) **Children Act 1989** as amended by Section 52 Children Act 2004 to promote the educational achievement of looked after children. Section 20 Children and Young Person's Act 2008- places a duty on the governing body of schools to designate a member of staff as having responsibility to promote the educational achievement of looked after children.
- 2.10. The Local Authority has a range of statutory duties in relation to the identification and assessment of pupils with special educational needs under the **Education Act 1996, Special Educational Needs and Disability Act 2001** and the Special Educational Needs Code of Practice 2001.
- 2.11. The Local Authority has a duty to ensure pupils whom are of statutory school age attend school regularly under the following legislation;

Education Act 1996; Section 7, Parental Responsibility; Section 437, School Attendance Order; Section 443, Failure to comply with the order; Section 444 & 444(1A) Prosecutions for non school attendance; Section 312, 323 & 328 Supervising Education Supervision Order; Section 444A (3) and (6), 444B and 569 Penalty Notice in relation to school attendance.

Criminal Justice and Court Service Act 1967 & 2000; Section 9, Summons and Witness statement

Police & Criminal Evidence Act 1984; Caution for Higher Offence Prosecutions

Crime and Disorder Act 1998 Parenting Orders Section 8

Anti Social Behaviour Act 2003 Section 23 Penalty Notices

Children's Plan Paragraphs 4.104 to 4.108 No Local Authority will have more than 5% of its school populations identified as persistent absentees.

Children Act 1989; Section 1, Welfare Principles; Section 17, Child in need; Section 31, Grounds for a Care Order or Supervision Order if need be for a child subject Education Supervision Order; Section 36 (5A), Education Supervision Order

Education and Inspections Act 2006; Places a Duty on Local Authorities to make arrangements to identify children missing or not receiving suitable education (part1 section 4)

The LA also has a duty of care to ensure schools comply with the following legislation:

- **Education Pupil Registration Regulations 2006**

- **Education (School Day and Year) Regulations 1999**
- **Education Act 2002 Section 53 Setting School Targets**

Other statutory duties – the provision of Home Hospital Education and the monitoring of Elective Home Education.

3. Review Process

3.1. The review team has met on six different occasions:

- 5th January 2010
- 25th February 2010
- 25th March 2010
- 10th May 2010
- 21st May 2010 and
- 2nd July 2010

An outline of the current teams, the service outcomes and budget position is detailed in the Stage 2 Report which is attached as **Appendix 3 - 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, Part 3 – Information relating to the financial affairs of business affairs of any particular person (including the authority holding that information)**

3.2. The proposed new structure for these service areas identifies two teams, that of:

- Educational Psychology and Learning Behaviour; consisting of two teams:
 1. Educational Psychology Team
 2. Learning Behaviour Team
- Education and Social Inclusion; consisting of 4 teams:
 1. Pupil Referral Unit Team
 2. Vulnerable Pupils Team
 3. School Attendance Team
 4. Special Educational Needs Team

3.3. The remainder of this report outlines the options for savings which have been considered for each of these teams.

4. Options Analysis & Risk Analysis

4.1. The Educational Psychology Team

4.2. Option 1 – Maintain the current level of service and staffing of a Principal Education Psychologist, 2 full time and 2 part time Specialist Education Psychologist and 1 Trainee Education Psychology. The cost of the service would remain the same however it is recognised that elements of this work

may be legitimately charged against DSG eg. Management of the Learning Behaviour Team (see below) which has not previously been the case. Any charges which can be made against DSG will generate an equivalent saving in the base budget. It is estimated this saving will be approximately £60,000.

- 4.3. In addition to core staffing the service currently employs two trainees on fixed term contracts funded by short term grants. These staff will not remain in post once they have qualified but bring additional capacity to the team in the short term. Future grant funding could be used in a similar way if circumstances allow.
- 4.4. Option 2 – Reduce the current capacity of the service by removing one full time specialist post. This would result in a financial saving of approximately £60,000. Reducing the core team reduces capacity to take on and supervise trainees potentially therefore reducing the capacity of the team even further. This option would also reduce capacity to respond to statutory requirements.
- 4.5. Option 3 – Reduce the current capacity of the service by changing the contracts for the specialist EP's and the trainee to term time only. This would result in a financial saving of approximately £56,000. This is not a preferred option for this team as they not only support schools but also Children's Centres and across Children's Services.
- 4.6. The financial implications of these options can be summarised as follows:

	DSG Savings	General Fund Savings	Total Savings
Option 1	+£60,000	-£60,000	£0
Option 2	£0	-£60,000	-£60,000
Option 3	£0	-£56,000	-£56,000

- 4.7. The review has identified Option 1 as the preferred model in order to maintain to current capacity which has been identified as a priority by representatives from both primary and secondary schools during consultation as service users. The team could also seek to reduce future costs by instigating a gradual move to term time only for some posts as an option for existing officers and for future appointments.
- 4.8. **Learning Behaviour Team**
- 4.9. Option 1 - No change, do not create the new team and retain staff in their current positions within the PRU. There would be no savings with this option.
- 4.10. Option 2 - This would be a new team created by restructuring the current PRU staffing into 2 teams; a Pupil Referral Unit Team and a Learning Behaviour Team. The Learning Behaviour Team would provide cross phase outreach behaviour support to schools, as well as administering the Hartlepool Inclusion Standard and Anti-bullying Strategy. The role of the manager of this team would be fulfilled by an existing Educational

Psychologist enabling the post to be funded by the DSG, in addition there would be 1 full time and 1 part time Support Worker. These posts are currently funded from within DSG and will continue to do so.

4.11. School Attendance Team

- 4.12. Option 1 - Maintain the current level of service and staffing of 1 Team Manager, 6 full time Attendance Officers and 1 part time Child Licensing Officer. The current budget allows for a full time Child Licensing Officer. This could be reduced to reflect current part time staffing levels resulting in a saving of £14,000. It should also be recognised that this service has already made efficiencies of £36,000 following a mini-restructure within the last 5 years with the loss of the Assistant Manager Post.
- 4.13. Option 2 - Reduce the current capacity of the service by changing the contracts of all 6 full time Attendance Officers to term time only. This would result in a saving of approximately £32,000. This is not a preferred option as attendance in schools remains a high priority particularly in the immediate future with the implications of the BSF programme ie. Dyke House move to the Brierton site during the re-build. The likely negative impact of reducing the capacity of the service would be: an increase in the number of pupils who are absent from school, an increase in anti-social behaviour and crime, an increase in the number of young people who are NEET, a reduction in standards and educational outcomes. This would also result in additional work for other council services, mainly, social care, Youth Offending and the Anti-Social Behaviour Unit.
- 4.14. Option 3 – Remove the part time Child Licensing post from the structure and incorporate the responsibilities into the 6 full time Attendance Officer posts. This would result in a saving of approximately £37,000. At present this is not a preferred option as it would result in reducing the capacity of existing Attendance Officers. In addition this post is required during the school holidays and would therefore not be fulfilled if Attendance Officer posts gradually change to term time only.

	DSG Savings	General Fund Savings	Total Savings
Option 1	£0	-£14,000	-£14,000
Option 2	-£28,000	-£4,000	-£32,000
Option 3	-£20,000	-£17,000	-£37,000

- 4.15. The review has identified option 1 as the preferred model as it would result in an immediate saving. There would then be a gradual move to term time only posts as an option for existing officers and a requirement for future appointments. Consultation with representatives from both primary and secondary schools indicated that they had increased their own capacity within school to improve attendance and to work with parents. Whilst they

value the support from the LA attendance Team they feel its capacity could be gradually reduced in the longer term.

4.16. **Vulnerable Pupils Team**

- 4.17. Option 1 – Maintain the current level of service and staffing of 2 full time Inclusion Co-ordinators, 2 part time Inclusion Co-ordinators, 2 full time Teachers and 1 full time Teaching Assistant (EAL). This would not result in any savings.
- 4.18. Option 2 - Maintain 2 full time and 1 part time Inclusion Co-ordinator. The current functions of the Education Support Team with 2 full time teachers (Home Hospital), 1 full time Teaching Assistant (EAL) would remain. However, following the resignation of the current part time Ethnic Minority Co-ordinator post the functions will be absorbed into the role of the Education Support Team Co-ordinator who already has responsibility for Diversity and Equality. This will result in one part time post being removed from the existing structure resulting in a saving of approximately £26,000.
- 4.19. In addition the current Home/Hospital budget has been significantly under spent for the last 3 years and, based on recent trends / demand fluctuations, a saving of £50,000 could therefore be made from this budget.

	DSG Savings	General Fund Savings	Total Savings
Option 1	£0	£0	£0
Option 2	-£26,000	£0	-£26,000
Home and Hospital	-£50,000	£0	-£50,000

- 4.20. The review has identified Option 2 as the preferred model. Consultation with representatives from both primary and secondary schools indicated that they value the support from the current team but they feel its capacity could be reduced as schools themselves have now developed more skills in working with Ethnic Minority Groups.

4.21. **Pupil Referral Unit Team**

- 4.22. Option 1 - Maintain the current level of service and staffing of 1 full time Service Manager, 5 full time teachers, 1 full time project Worker, 1 part time Youth Worker, 1 full time Learning Mentor, 3 Teaching Assistants and 1 full time Administrative Assistant. There would be no savings made from this option.
- 4.23. Option 2 – Restructure the current staffing into 2 teams; a Pupil Referral Unit Team and a Learning Behaviour Team managed within Educational Psychology and has been outlined above in section A & B. The new PRU would focus on the Learning and Teaching provision within the PRU and would have 1 full time Team Manager, 5 full time teachers, 3 full time/equivalent TA posts and 1 full time Administrative Assistant who would

also support across the PRU and the Learning Behaviour Team. This would result in a financial saving of approximately £19,000 by the removal of one full time support post.

	DSG Savings	General Fund Savings	Total Savings
Option 1	£0	£0	£0
Option 2	-£19,000	£0	-£19,000

- 4.24. The review has identified Option 2 as the preferred model. The current PRU is staffed based on 24 full time/equivalent pupils and has not been used to its full capacity since it was disaggregated from A2L in 2008. Consultation with representatives from both primary and secondary schools indicated that they would like to maintain the current PRU model but there is a perception that it is not providing value for money, they feel staffing could be reduced. The new PRU will focus on learning in the classroom to support pupils on a short stay basis. The majority of the outreach service will be provided by the Learning Behaviour Team. The mentoring functions can be fulfilled by existing staff from mainstream schools in consultation with PRU teaching staff.

4.25. **Special Educational Needs Team**

- 4.26. Option 1 - Maintain the current level of service and staffing of 1 full time SEN Manager, 1 full time SEN Officer and 1 full time SEN Support Officer. There would be no savings made from this option.
- 4.27. Option 2 – Increase the capacity of the SEN Team with 1 full time Manager, 2 full time SEN Officers and 1 full time SEN Support Officer. This option will result in an additional cost of approximately £31,000 which would be funded by a mixture of General Fund and DSG.

	DSG Costs	General Fund Costs	Total Costs
Option 1	£0	£0	£0
Option 2	+£24,300	+£9,700	+£34,000

- 4.28. The review has identified Option 2 as the preferred model. This would compensate for the loss of strategic and operational capacity in relation to SEN through the deletion of the posts of Assistant Director Planning and Service Integration and the Band 15 SEN Manager. Consultation with representatives from both primary and secondary schools indicated that they are concerned about loss of expertise in this area and would wish to see an increase in the capacity of the SEN Team in order to respond to the increasing demands and complexities particularly in relation to behavioural, social and emotional difficulties.

4.29. **School Improvement Co-ordinators**

- 4.30. Option 1 – Secondary B&A Consultant post to remain within the Education and Social Inclusion Team, however the long term sustainability of this post is

uncertain as it is funded through National Strategies Standards Fund which will not continue beyond March 2011. This post currently includes the statutory responsibility for school exclusions; however this will transfer to the Vulnerable Pupils Team. Following the retirement of the Primary Behaviour Consultant this post will be removed from the structure resulting in a gross saving of £60,000 (although the post was part grant funded £25k which will cease in March 2011).

	DSG Costs	General Fund Costs	Total Costs
Option 1	-£35,000	£0	-£35,000

4.31. **Independent School Fees**

4.32. The majority of costs associated with the placement of pupils at independent schools are funded through the DSG. All placements are periodically reviewed and in cases where there are social care or health issues, costs are met from the department's Looked After Children Budget and/or by PCT funding.

4.33. Historically the Council has funded **£50,000** of education related costs from its general fund, however, DSG savings generated in other budget areas totalling £45,700 could be re-directed to Independent School Fees to sustain the current budget level, as recent trends in placement costs suggest that this area is still volatile. By 're-badging' DSG, the general fund saving can, therefore, count against the SDO target.

5. **Financial Implications**

5.1. The Service Delivery Options (SDO) programme has been designed to review all council activity over a three year programme and is planned to contribute over £3.5m in savings to the Business Transformation (BT) savings of £6m over this period. Each review has a target for savings set at the outset as part of this overall programme and these are assigned to specific financial years in the Medium Term Financial Strategy. For 2011/12 the MTFS forecasts are based on the achievement of £1.3m of Business Transformation SDO savings from 1st April 2011.

5.2. The Business Transformation programme was planned, as part of the MTFS, to support the budgetary position of the council through a managed programme of change. The economic climate of the country, and the likely impact of expected grant cuts post general election, mean that the anticipated budget deficits, after all BT and other savings are taken is still expected to be around £4m per annum for each of the next three years. These additional cuts equate to 4% of the annual budget and a cumulative cut of over 12% over three years. In practice there will be some areas Members wish to protect and this will simply mean higher cuts in other areas and/or the cessation of some services.

- 5.3. It has been identified in previous reports to Cabinet that a failure to take savings identified as part of the BT programme (and more specifically the SDO programme) will only mean the need to make unplanned cuts and redundancies elsewhere in the authority. This position has been exacerbated through the economic circumstances and likely grant settlements and failure to implement SDO savings will in all likelihood make the 2011/12 budget position unmanageable owing to anticipated grant cuts commencing this year. In addition, as reported in the MTFS the Council faces a range of budget risks which exceed the available strategic risk reserve and this funding shortfall will need to be addressed in 2010/11 and 2011/12, which further reduces financial flexibility.
- 5.4. The SDO reviews are attempting to ensure that a service base can be maintained, costs can be minimised and the payback on any investment is maximised. In simplistic terms each £25,000 of savings identified which are not implemented will require one unplanned redundancy with likely associated termination costs. No funding is available for these termination costs as existing balance sheet flexibility is committed to supporting the SDO programme on a loan basis, so higher saving will be needed to fund these termination costs outright.

6. Summary of Financial Implications

- 6.1. The costs / savings arising from each option are shown above. A summary of the financial impact of all preferred options is as follows:

	Dedicated Schools Grant (DSG)	General Fund	Net
A) Education Psychology Team - Option 1	+£60,000	-£60,000	£0
C) School Attendance Team- Option 1		-£14,000	-£14,000
D) Vulnerable Pupils – option 2	-£26,000	£0	-£26,000
D) Vulnerable Pupils – Home & Hospital	-£50,000	£0	-£50,000
E) PRU – option 2	-£19,000	£0	-£19,000
F) SEN Team – option 2	+£24,300	+£9,700	+£34,000
G) School Improvement Co-ordinators – option	-£35,000	£0	-£35,000
H) Independent School Fees	+£45,700	-£45,700	£0
Overall Financial Implications	£0	£110,000	£110,000

- 6.2. These proposals would therefore potentially provide £110,000 savings which is in excess of the SDO target of £57,200 and equivalent to a 23% saving. By making the maximum savings at this stage it is hoped that the requirement to make further savings at a later date will be avoided.

7. Impact

- 7.1. Impact on Service Users – Every effort has been made to minimise the impact on service users as these teams work with particularly disadvantaged and vulnerable groups. Services will be maintained due to the use of the Delegated Schools Grant and absorption of some aspects of work into remaining posts.
- 7.2. Impact on Council Staff – The post of Secondary B&A Co-ordinator will be at risk from April 2011 as it is dependant upon a grant. No other posts will be at risk.
- 7.3. Diversity Impact Assessment – This has been completed and attached at **Appendix 4.**

8. Comments From BT Programme Board

- 8.1. The BT Programme Board considered the Options Report on 21st October.
- 8.2. Members considered the report at length and noted the complexity of the funding of the services included in the scope of the review and the restricted capacity to identify savings on Council funded services. Members noted that all service areas had been reviewed and in some cases proposals had been made to reshape the use of ring-fenced grant. The main ring-fenced grant was the Dedicated Schools Grant (DSG) the scope of which provided for, and must be spent on, Local Authorities "Schools' Budget".
- 8.3. It was noted that every effort had been made to minimise the impact on service users as the service worked with particularly disadvantaged and vulnerable groups. Members were reassured that the savings should not impact on the time spent on or the assessment of individual pupils.
- 8.4. Members recognised that the recommended proposals of the review had delivered twice the amount of savings from the original efficiency target and the lead officer was congratulated on such an achievement.
- 8.5. Members of Programme Board indicated their agreement to endorse the recommendations contained within the report which Cabinet would be asked to approve.

9. Summary

- 9.1. This service area has been particularly difficult to reconfigure in light of the uncertainty regarding the change of government and future policy implications for the vulnerable groups and associated grants covered by this review. Whilst this review has been rigorous in identifying savings and going beyond the original target it has been possible to maintain current statutory duties in relation to all areas as identified in Stage 1.
- 9.2. During the course of stage 2 this review has considered some options for further savings to be made in the future. The initial stages of consultation in

relation to Education Services with other Local Authorities in the Tees Valley has begun. This will include services within this SDO as well as those beyond the scope of this review. It is possible that further savings will be made through this transformational process which will be presented to cabinet as part of a wider review at a later date.

10. Recommendation

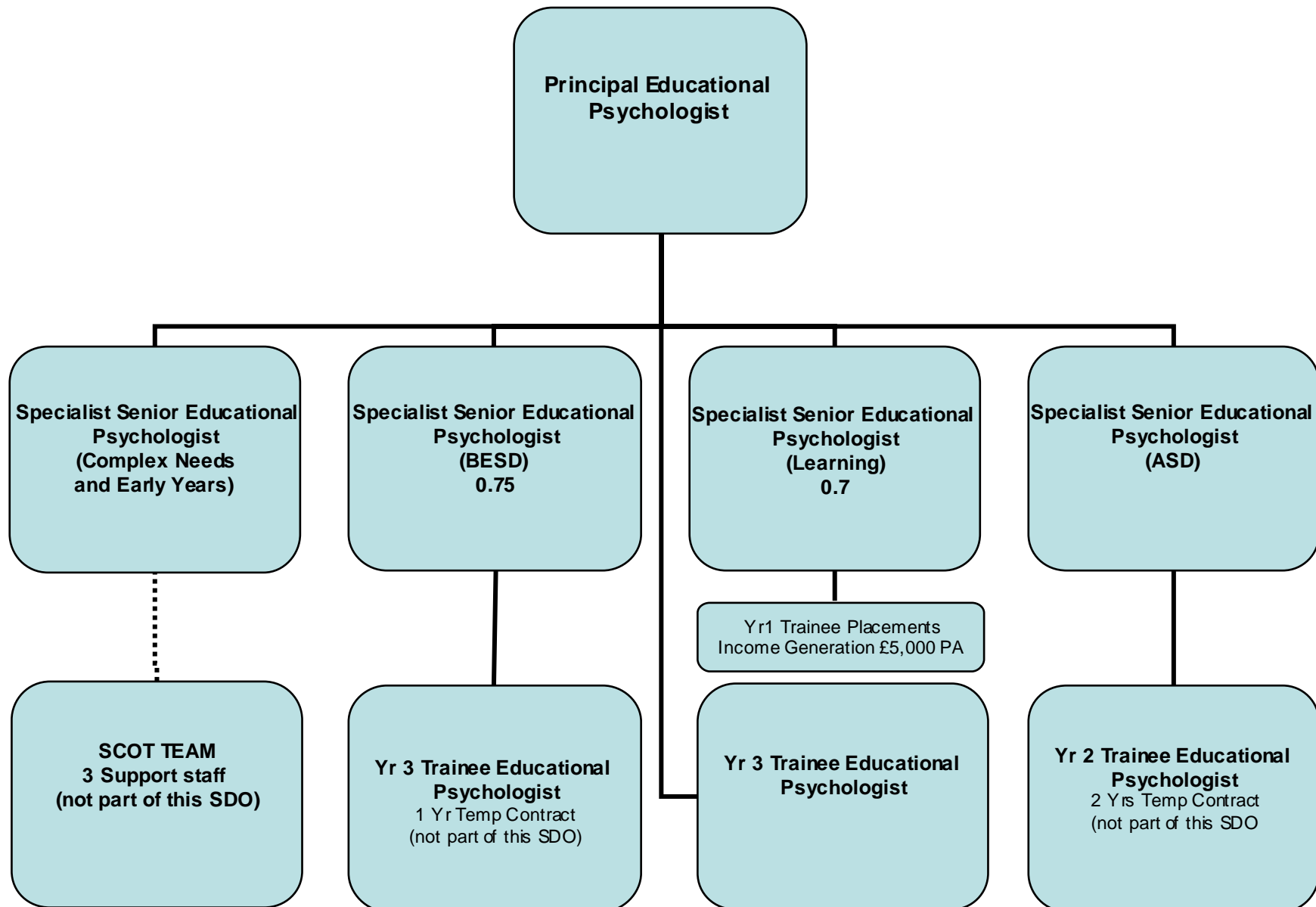
- 10.1. Cabinet are asked to:
- 10.2. Approve the recommended options as shown in section 4 of the main report.
- 10.3. Agree the proposals for the achievement of the £110,000 savings which are summarised in section 6 of the main report.

5.1 Appendix 1

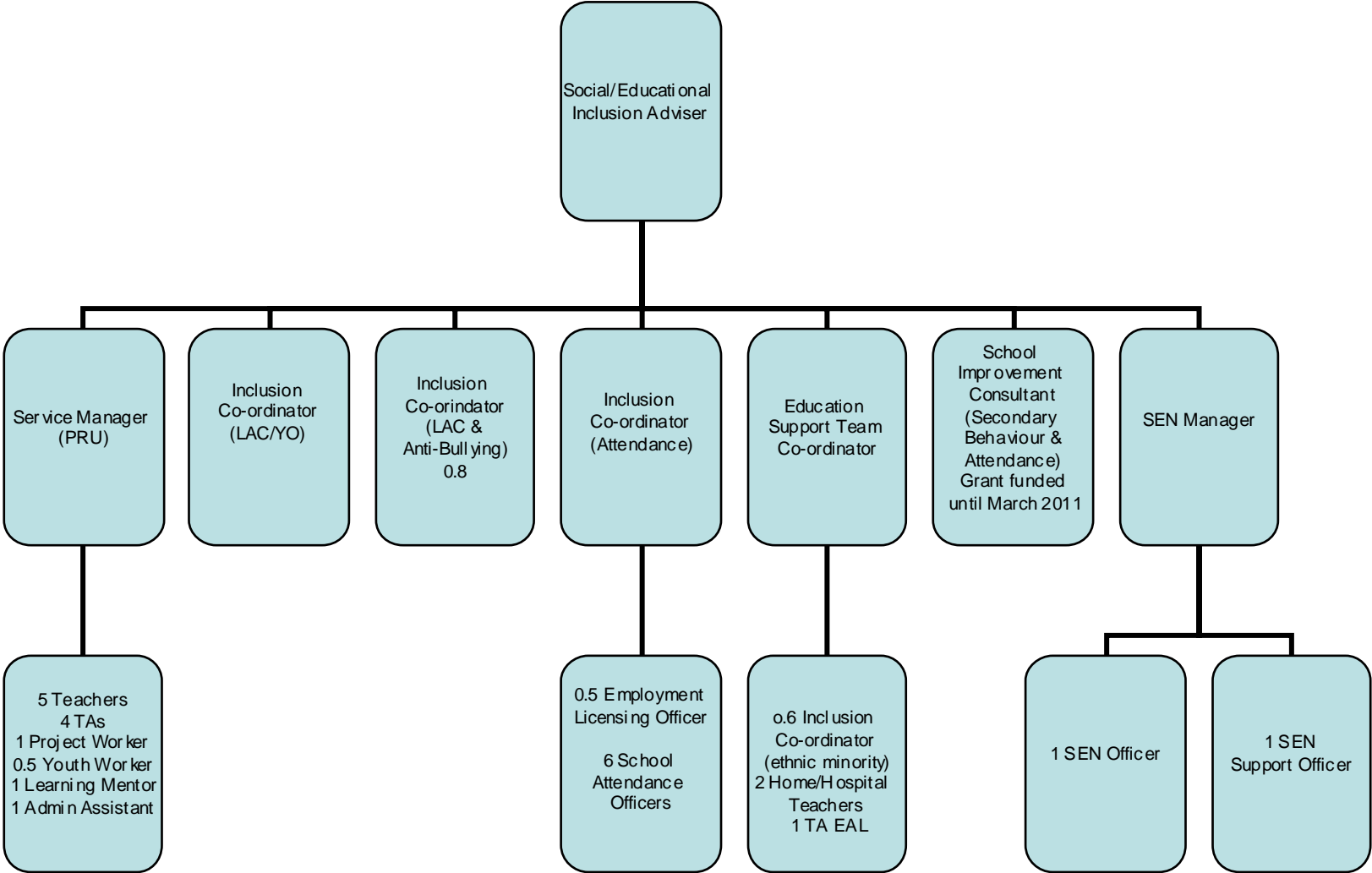
Services	Cost Centre	Cost Centre Description	Gross Budget	Chief Officers (incl on-costs)	Support Services (affects NS only)	Specific Ring Fenced Grants	Gross Budget excl Specific Grants	Area Based Grant	One off Reserves funding in 08-09
Social Inclusion / Vulnerable Pupils SEN & Educational Psychology	22200	Extra District Fees - Ccc/Other Lea	510,129			510,129	0		
	22201	Independent School Fees	313,871			313,871	0		
	22202	Support Teachers	34,614			34,614	0		
	22204	Education Psychology	313,705				313,705		
	22205	Individual Pupil Support	1,587,987			1,587,987	0		
	22208	Children & Family Services	301,773			109,633	192,140		
	22209	Home And Hospital Teaching	187,637			187,637	0		
	22211	Pupil Referral Unit	671,745			671,745	0		
	22212	Hearing Impaired(Ja)	74,295			74,295	0		
	22213	Visually Impaired(Ja)	54,491			54,491	0		
	22220	Stat. Assessments & Maint.	135,126			32,545	102,581		
	22297	Collaboration & Integration	63,516				63,516		
	12651	Childrens Fund Partnership	395,000				395,000	395,000	
	17475	Young Parent Support Programme	61,532				61,532		
	22164	Parenting Support Strategy	64,763			50,000	14,763		
		TOTAL	4,770,184	0	0	3,626,947	1,143,237	395,000	0

Original savings target 5% of Gross Budget excluding Specific Grants £1,143,237 = a savings target of £57,162
New target is based on a net budget of £474,849 and a £57,200 savings target = 12%

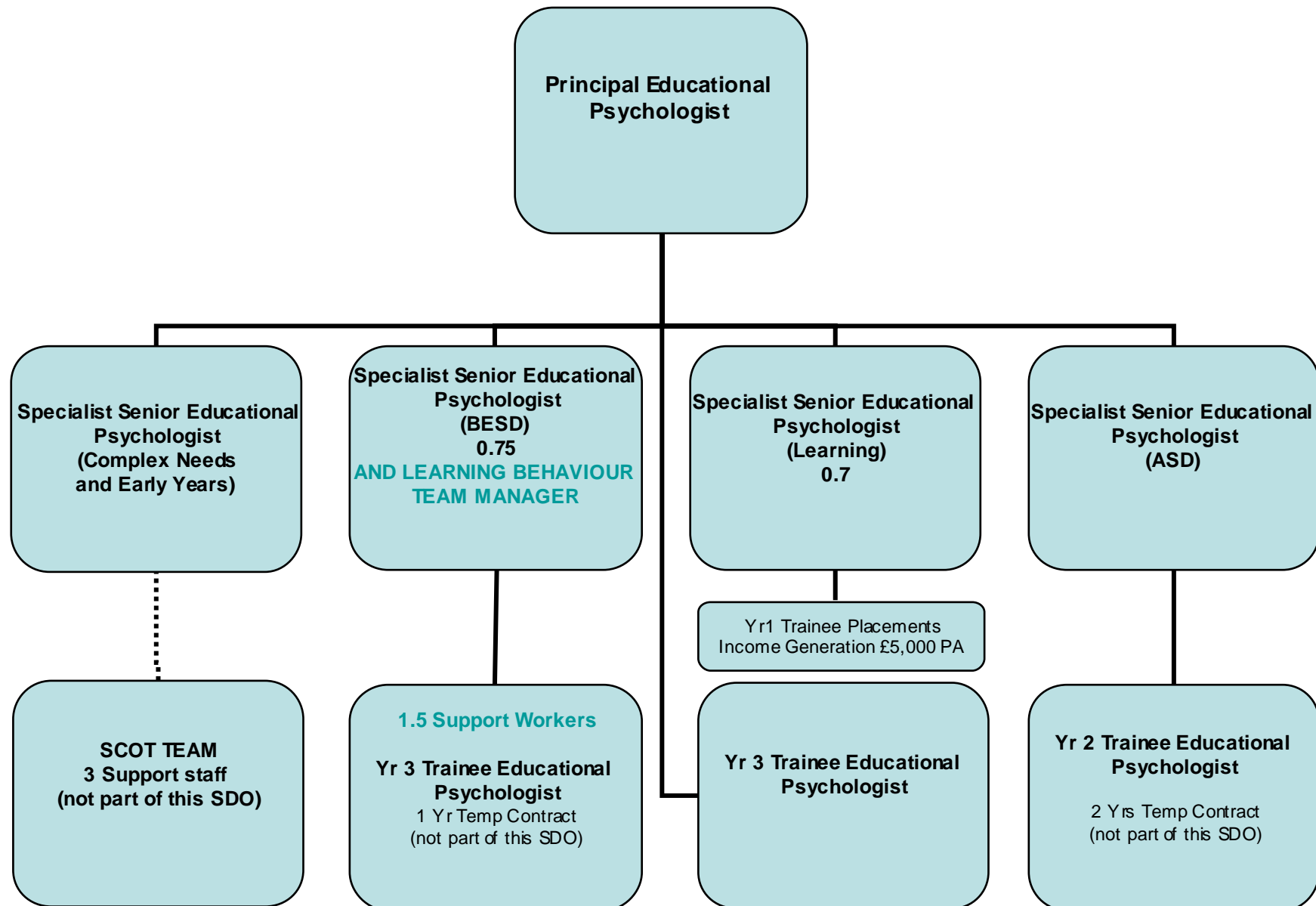
5.1 Appendix 2



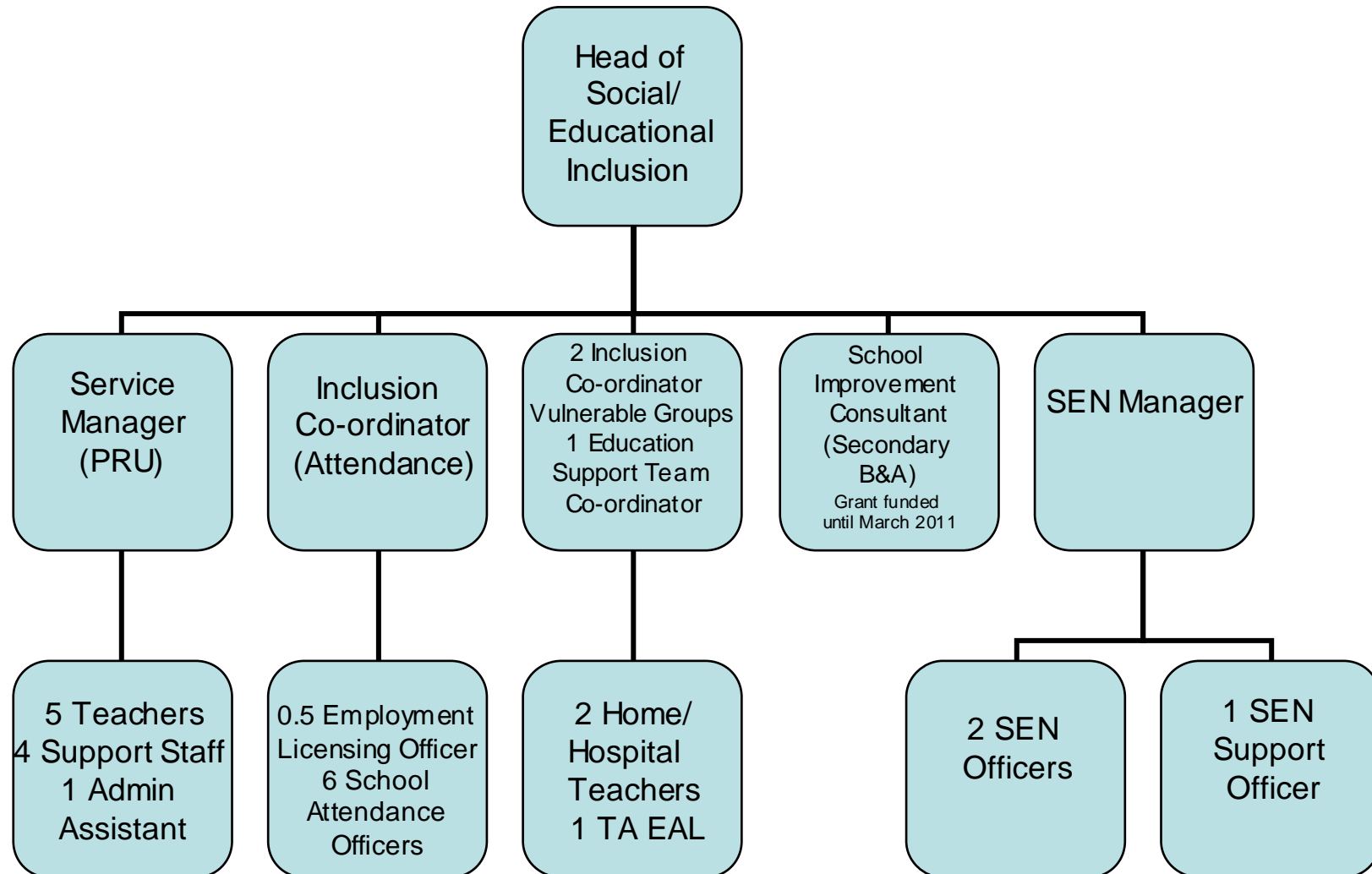
Education Inclusion Team



Psychology Team after SDO



Education Inclusion Team after the SDO





Diversity Impact Assessment (Predicted Assessments)

Lead Officer: Zoe Westley	Published Date: 30 th September 2010
Who has undertaken the assessment: Zoe Westley	
Date forwarded to Departmental Diversity Rep: N/A at this stage	

Is the subject to be assessed a: <i>(Please tick)</i> <div style="display: flex; justify-content: space-around;"> Strategy <input type="checkbox"/> Policy <input type="checkbox"/> Service <input type="checkbox"/> </div> <div style="display: flex; justify-content: space-around;"> System <input type="checkbox"/> Project <input type="checkbox"/> Other SDO review <input type="checkbox"/> </div>
Name of the assessed and brief description: Social inclusion, vulnerable pupils, SEN and educational psychology

What is being assessed is <i>(please tick)</i> <div style="display: flex; justify-content: space-around;"> Existing <input type="checkbox"/> New <input checked="" type="checkbox"/> </div>

Is a copy of the new policy/strategy attached <i>(please tick)</i> <div style="display: flex; justify-content: space-around;"> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> </div> If No, where can it be viewed?

Links into Community Strategy and Council Themes <i>(please tick box(es))</i>	
Jobs and the Economy <input type="checkbox"/>	Environment <input type="checkbox"/>
Lifelong Learning and Skills <input type="checkbox"/>	Housing <input type="checkbox"/>
Health and Care <input type="checkbox"/>	Culture and Leisure <input type="checkbox"/>
Community Safety <input type="checkbox"/>	Strengthening Communities <input type="checkbox"/>
Organisational Development <input checked="" type="checkbox"/>	

Stage 1 - Overview

1. Please give a brief description of the aims, objectives or purpose. <i>(Note: Wherever possible please quote from the document)</i>	
Service Delivery Options review is required as part of the HBC Business Transformation Programme.	
2. Who is responsible for implementation?	
ZW is the lead officer for this review, supported by the review team.	
3. Who are the main stakeholders? (please tick)	
The General Public <input checked="" type="checkbox"/>	Public Sector Service Providers <input type="checkbox"/>
Employees <input checked="" type="checkbox"/>	The Community & Voluntary Sector <input type="checkbox"/>
Elected Members <input type="checkbox"/>	

Stage 2 – Research and Findings

4. What evidence do we presently have and what does it tell us? <i>(Include any numerical data, public consultation or involvement, anecdotal evidence and other organisations' experiences, outcome of any previous service related INRA, entry into the Risk register)</i>
Current services are performing well. The Pupil Referral Unit was assessed by Ofsted as being satisfactory. The work around the education of LAC is seen nationally as an example of good practice. Attendance at schools has improved steadily over a number of years. Exclusions have reduced significantly. The SEN budget is not overspent and statutory processes are completed within the prescribed timescales.
5. Identify the gaps in the evidence that we presently have?
A range of data and other evidence has been collated as part of the review, there are no gaps.

HARTLEPOOL BOROUGH COUNCIL

6. Record what needs to be done to gather further evidence to undertake the impact assessment?

None

Please note: You will need to have viewed your data or insufficient data before answering the following questions. If no data is available, you will need to make a record of this within your answers below and indicate how this data will be gathered in the future. *(Please refer to glossary for the terms- unmet needs, differential impact, positive impact, negative impact and adverse impact provided in the guidance)*

7. Are there any unmet needs/requirements that can be identified from your research that impact specific equality groups? Which equality groups does it impact?

The existing services specifically identify and target vulnerable groups of children and young people to try and ensure their specific needs are met.

8. Are there any concerns that there could be a differential/positive/negative/adverse impact on the grounds of gender? Gender refers to male, female and transgender. Please explain your answer.

No, the review has recommended options which will not reduce service delivery.

9. Are there any concerns that there could be a differential/positive/negative/adverse impact on the grounds of racial or ethnic origin? Please explain your answer.

No

10. Are there any concerns that there could be a differential/positive/negative/adverse impact on the grounds of religion or belief? Please explain your answer.

No

HARTLEPOOL BOROUGH COUNCIL

11. Are there any concerns that there could be a differential/positive/negative/adverse impact on the grounds of disability? Please explain your answer.						
No						
12. Are there any concerns that there could be a differential/positive/negative/adverse impact on the grounds of age? Please explain your answer.						
No						
13. Are there any concerns that there could be a differential/positive/negative/adverse impact on the grounds of sexual orientation? Please explain your answer.						
No						
14. Summary of adverse impacts (please tick)						
<table> <tr> <td>Gender <input type="checkbox"/></td> <td>Disability <input type="checkbox"/></td> </tr> <tr> <td>Race/Ethnic Origin <input type="checkbox"/></td> <td>Age <input type="checkbox"/></td> </tr> <tr> <td>Religion/Belief <input type="checkbox"/></td> <td>Sexual Orientation <input type="checkbox"/></td> </tr> </table>	Gender <input type="checkbox"/>	Disability <input type="checkbox"/>	Race/Ethnic Origin <input type="checkbox"/>	Age <input type="checkbox"/>	Religion/Belief <input type="checkbox"/>	Sexual Orientation <input type="checkbox"/>
Gender <input type="checkbox"/>	Disability <input type="checkbox"/>					
Race/Ethnic Origin <input type="checkbox"/>	Age <input type="checkbox"/>					
Religion/Belief <input type="checkbox"/>	Sexual Orientation <input type="checkbox"/>					

Stage 3 – Consultation

15. Who have you consulted with?
<p>A range of methods are used to establish the views of children, young people, their families and school staff about the range of services offered, as part of the ongoing work of the teams being reviewed.</p> <p>Staff, unions, elected members, CMT/DMT, BT programme board and Cabinet will all be consulted/informed in line with the communication plan</p>

16. Summary of findings/recommendations from the consultation

See attached report.

Stage 4 – Adverse Impacts**17. Please give details of what the predicted adverse impact is expected and which groups or individuals it affects.**

None

18. Record what immediate actions are taken prior to implementation to address the adverse impact?

None

19. Can the adverse impact be justified for any reason? Please explain.
(Legislation, promoting equality of opportunity for one group (positive action) etc.)

N/A

Stage 5 – Action Planning and Publishing

20. What actions are needed to be taken after the implementation		
Action	Responsible officer	Completion Date
N/A		

21. What are the main conclusions from the assessment?
There will be no negative impact on any groups

22. How is the impact assessment published/publicised?
The assessment will be part of the report to programme board when options are to be considered.

23. How is the impact further assessed after its implementation?	
DIA on new service plans once new structures are in place.	
Signed: _____ Assistant Director	Date: _____

CABINET REPORT

22nd November 2010



Report of: Director of Regeneration and Neighbourhoods

Subject: THIRD LOCAL TRANSPORT PLAN (LTP3)

SUMMARY

1. PURPOSE OF REPORT

To provide an update on progress towards the development of Hartlepool's third Local Transport Plan.

2. SUMMARY OF CONTENTS

Details of changes that have taken place in Government thinking since the development of the document was started and the implications that these have had on the document.

3. RELEVANCE TO CABINET

This is a Cabinet decision.

4. TYPE OF DECISION

This is a key decision (tests i & ii) RN39/10

5. DECISION MAKING ROUTE

Cabinet on 22nd November.

6. DECISION(S) REQUIRED

Members

- (a) note progress towards the development of the third Local Transport Plan
- (b) approve to the working draft being circulated to all stakeholders for the purpose of further consultation
- (c) approve that the draft document be revised to accommodate appropriate comments received during the consultation process and that the final document be presented to Cabinet in March 2011.

Report of: Director of Regeneration and Neighbourhoods

Subject: THIRD LOCAL TRANSPORT PLAN (LTP3)

1. PURPOSE OF REPORT

- 1.1 To provide an update on progress towards the development of Hartlepool's third Local Transport Plan.

2. BACKGROUND

- 2.1 The Council's Second Local Transport Plan (LTP2) covers the period to 31st March 2011, after this date the Council's Third Local Transport Plan (LTP3) will come in to effect.
- 2.2 Draft Guidance on the development of LTP3's was published by the Department for Transport (DfT) in December 2008 and consultation on this closed in April 2009. The final guidance was published in July 2009. The guidance made it clear that LTP3 will be different from previous LTP's as the DfT has taken a fresh approach to this round, allowing Local Authorities a greater degree of flexibility to prepare a plan which best meets its own individual needs.
- 2.3 At the Cabinet meeting held on 19th October 2009 approval was granted for the methodology for the development of the new Plan, for the draft document to be presented to Cabinet in October 2010 and for the final document to be submitted in March 2011 for final approval prior to instigation on 1st April 2011.
- 2.4 Since this time significant changes have occurred in central Government with subsequent impact on the initial guidance in respect of the Plan development.
- 2.5 A ministerial announcement was made in July 2010 in respect of the current Governments' aspirations towards transport planning and the new LTP.
- 2.6 There remains in place a statutory duty for local authorities to develop their next Local Transport Plans in time for April 2011, and there are no plans to remove or amend this duty and the statutory framework for LTPs is set out in Chapter 2 of the July 2009 Local Transport Plan Guidance.

2.7 The Department recognised that it was helpful to clarify a number of aspects of the LTP Guidance in light of the change of Government and have provided the following statements:

- LTP Guidance sets out the mechanism for local authorities to review progress on transport with DfT, via the Government Offices. The Department will no longer seek to intervene in the way in which local authorities review their progress against Local Transport Plans. This is a matter for local authorities, and we will no longer require reports or reviews for central Government.
- LTP Guidance recommended that authorities adopt the relevant transport and non-transport indicators from the National Indicator Set in their LTPs, in particular those indicators reflected as targets in Local Area Agreements. The Government is currently considering its policy on local Government performance (i.e. on the future of the National Indicator Set and Local Area Agreements). Local authorities should take account of Government policy as it emerges over the coming months, but meanwhile they are encouraged both to consider what indicators are most important for their own areas, and to retain the ability to compare themselves against others to improve efficiency and effectiveness.
- LTP Guidance asked local authorities to consider their contribution to the national transport (or 'DaSTS') goals as overarching priorities for their LTPs, and to integrate LTPs with regional strategies. Ministers have highlighted the key overarching policies, namely ones which help grow the economy and help tackle carbon emissions, whilst not neglecting other important priorities, including road safety, affordability, accessibility, and people's health and wellbeing - for example, through more cycling and walking.

2.8 The following statement was made at the same time:

"The challenges of the coming years will require local authorities to address hard questions of priority, plan their delivery carefully, and work together where there is scope both for efficiency and improvement. In this new environment, LTPs are a vital tool to ensure that the right decisions are made about transport investment and services. Local authorities will need strong and determined leadership, but they know better than Whitehall what is right for their own communities, and are well placed to deliver."

2.9 In September 2010 Government announced its Local Sustainable Transport Fund proposals

2.10 This will challenge local transport authorities outside London to develop packages of measures that support economic growth and reduce

carbon in their communities as well as delivering cleaner environments, improved safety and increased levels of physical activity.

- 2.11 Measures could include encouraging walking and cycling, initiatives to improve integration between travel modes and end-to-end journey experiences, better public transport and improved traffic management schemes.
- 2.12 The Government also announced that, in line with its localism agenda, it intends to pool the centrally funded local transport grants to create fewer but larger funding streams which are largely formula based.
- 2.13 Funding for the Local Sustainable Transport Fund will be set aside from within the Department for Transport's overall funding allocation following conclusion of the Spending Review. Details about the new Fund, including the resources available and how it will operate, will be announced later in the year

3. PROPOSALS

- 3.1 Because of all the uncertainty following the change of Government and the resulting changing agendas, development of the third LTP has been slower than anticipated. It is expected, however, that a working draft will be available before Christmas for further consultation with all stakeholders, including members of Cabinet.
- 3.2 It is proposed that any changes to be made to the document, as a result of this further consultation, will be presented to Cabinet for approval in March 2011 prior to implementation in April 2011.

4. FINANCIAL CONSIDERATIONS

- 4.1 The recent Comprehensive Spending Review has indicated what overall budget cuts may be but did not indicate how these will effect specific grants such as the Integrated Transport and Structural Maintenance blocks of the Local Transport Plan from April 2011.
- 4.2 This being the case it is difficult, at this time, to develop a delivery schedule for the new Plan. It is intended, therefore, to develop a broad action plan at this time with this being refined as and when more specific details become available as to actual budgets.

5. RECOMMENDATIONS

- 5.1 Members
 - a) note progress towards the development of the third Local Transport Plan

- b) approve to the working draft being circulated to all stakeholders for the purpose of further consultation
- c) approve that the draft document be revised to accommodate appropriate comments received during the consultation process and that the final document be presented to Cabinet in March 2011.

6. REASONS FOR RECOMMENDATIONS

6.1 The reasons for these recommendations are:

- (a) to ensure Members are kept up to date with the development of the third LTP
- (b) to ensure that the plan addresses the needs of the community and stakeholders of the town
- (c) to ensure the final plan is in place prior to 1st April 2011

7. CONTACT OFFICER

Mike Blair
Highways, Traffic and Transport Manager
Tel: 01429 523252
mike.blair@hartlepool.gov.uk

CABINET REPORT

22 November 2010



Report of: Director of Child and Adult Services

Subject: BUSINESS TRANSFORMATION – SERVICE
DELIVERY REVIEW OPTIONS ANALYSIS REPORT
FOR CHILDREN'S SOCIAL CARE AND
PREVENTIONS SERVICES

SUMMARY

1.0 PURPOSE OF REPORT

- 1.1 To inform Cabinet on the findings of the Children's Social Care and Preventions Services, service delivery options review and the options appraisal aspect of the review.

2. SUMMARY OF CONTENTS

- 2.1 This Service Delivery Review for Children's Social Care and Preventions services has an efficiency target of £485,500. This target represents 5% savings against the whole division budget (excluding the Youth Offending Service which moved to this division part way through the Review programme) of £9.4M. This Service Delivery Option does not include services commissioned by children's social care as it was previously agreed that this review would be undertaken in Year 3 of the Service Delivery Options Review Programme. Therefore whilst an efficiency target has been set, this target includes budgets associated with commissioning which are out with the scope of this review. The savings identified within this review taken with savings identified through the commissioning review should achieve together the efficiency target of £485,500. Further proposals will be identified in respect of the balance of savings as part of the year 3 BT SDO programme.
- 2.2 This review has a particularly wide scope and the areas covered report to a number of different senior managers within the Prevention, Safeguarding and Specialist Services Division. The review covers interventions across the whole spectrum of need, from a preventative nature i.e. to support families in caring for their own children, right through statutory interventions where children become subject to child protection plans, and some children

ultimately being removed from their birth families and placed with permanent new families.

- 2.3 Much of the work under consideration in this review is high risk and the welfare of children must always remain a paramount consideration in any reconfiguration of service delivery.
- 2.4 Provision of services to children, young people and their families can be best demonstrated by the 'Windscreen Model' pictured in section 3.1 of the main report. This breaks children's needs down into three categories are their corresponding level of service need:
- Children with no identified additional needs (universal services, e.g. schools, health provision)
 - Children with additional needs (targeted services e.g. education psychology, speech and language therapy, social work support)
 - Children with complex needs (specialist services, e.g. child protection or looked after services, Youth Offending Service, Child and Adult Mental Health Service).
- 2.5 Due to the size of this review, it has been organised into individual reviews of each of the following areas:
- Prevention Service (**Appendix 2**)
 - ACORN Service (**Appendix 3**)
 - Safeguarding, Assessment and Support Services (fieldwork teams) (**Appendix 4**)
 - Safeguarding and Review Unit (**Appendix 5**)
 - Through Care Team (**Appendix 6**)
 - Placement Service (**Appendix 7**)
 - Short break care for disabled children (Exmoor Grove) (**Appendix 8**)
 - Resource Services (**Appendix 9**)
- 2.6 Details of each of these sub reviews are submitted as appendices to the main report.
- 2.7 Each of the individual service reviews have undertaken an option appraisal for the service. For a number of reviews, these options are limited in scope due to the statutory nature of the work undertaken by children's social care. This area of practice is the statutory responsibility of the local authority and therefore the services need to either continue to be provided by the authority or the authority needs to seek for an alternative provider to deliver the service on its behalf. The reality is such that there are no providers currently in existence that deliver children's social care services. The individual service reviews have evaluated the impact and risk associated with the options under consideration.
- 2.8 The options that have been considered in this review are as follows:

- Discontinue the service
- Reduce the level of service provided
- Commission the service from an alternative provider
- Continue to deliver the service in its current form

- 2.9 The individual reviews relating to children's social care, with the exception of the resources team and Exmoor have reached the conclusion that the most appropriate option is to continue to deliver the services in the way they are currently configured.
- 2.10 This review has identified two areas of the social care service where further transformation is required. This relates to the Resource Team and the short break care provision provided through Exmoor Grove. With regard to the Resources Team, the review has provided an opportunity to conclude the work started through the service restructure and the Service Delivery Option report proposes a number of changes to the service that can be made to increase its efficiency and effectiveness in supporting the social work task. The review of Exmoor Grove proposes a reconfiguration of the service as a result of the changing needs of the children and young people who use that service. This work had also commenced prior to the start of the Business Transformation programme, however, the programme has provided the opportunity to give consideration to all options for the future provision of short break care to disabled children.
- 2.11 Two reviews relate to the prevention service where the long term sustainability of the provision is uncertain. Given the financial pressures on the local authority and the success of the prevention team achieved to date, the review of prevention service and the Acorn team are intertwined. It has been difficult to undertake a review of the prevention service as the future funding arrangements for the service are unknown. Therefore this review takes the form of a sustainability review and decisions will need to be taken about how the council wants the service to be provided in the future if at all. The service makes a real difference to the lives of vulnerable children and is well received and regarded across the town.
- 2.12 In considering any options/proposals, it is important to be mindful of the knock on effect of any decision relating to the provision of social work services. For example, a decision to reduce family resource workers beyond that proposed would have the effect of placing pressures on social workers to undertake tasks that are currently being completed by resource workers for example, provision of contacts and transport. This would have a detrimental impact on the workload of social workers, increasing it to a point where the volume of work becomes unsustainable and children are left at risk of harm as a result.
- 2.13 This review addresses the following areas of service delivery with its corresponding budget and proposed savings:

Service Area	Budget	Savings
ACORN Service	£313,453	£0
Prevention Service	£1,254,943	£0
Safeguarding, Assessment and Support Fieldwork Teams	£2,610,629	£0
Safeguarding and Review Unit	£222,725	£0
Placement Service	£2,723,389	£0
Short break care for disabled children (Exmoor Grove)	£592,298	£66,006
Resource Services	£905,989	£71,463
Through Care Team	£736,183	£0
Total	£9,359,609	£137,469

- 2.14 Options for savings may be considered in relation to the level of risk associated with each. The Service Delivery Options review on all of the above service areas has identified a total saving of £137,469 which represents 1.4% of the service budget under review. These savings could be realised at low risk to the council but with a transformation of existing provision which is due for review and change.
- 2.15 The future in relation to preventative services is uncertain, and at this stage, no savings are being offered from that service. It is proposed that this review is evaluated again in the autumn following the outcome of the Government spending review. There are potential options for savings associated with the Acorn team which could be added to the total service savings towards the indicative target, however, at this stage, it is recommended that these savings are deferred until further information is known.
- 2.16 The service is not offering any savings associated with statutory provision of children's social work services. As noted in this report, the capacity of the service is stretched and caseloads of social workers are high. To reduce the number of social workers, as the vast majority of this budget relate to staffing costs, would place the council in an untenable position of risk. This risk would arise from higher and unworkable caseloads for social workers preventing them from fulfilling their statutory responsibilities to children, young people and their families and consequently leave children vulnerable and at risk. Failure to deliver effective social care services for children leave the council at risk of statutory intervention by the Government for failing to meet its duties.
- 2.17 Over the coming three years and through the implementation of the Children Looked After Strategy, the service will continue to develop and implement its agenda to reduce the numbers of children looked after.
- 2.18 A Diversity Impact Assessment has been completed and is attached at **Appendix 11** to this document. This assessment concludes that the changes proposed within this document will not have a

differential/negative/positive or adverse impact on any individuals on the grounds of gender, age, disability, sexual orientation, race/ethnic origin or religion/belief.

- 2.19 If the savings summarised in section 7 of the main report are accepted, the impact upon service users will be positive. They will benefit from an improved and more responsive service better equipped to meet their needs. The reconfiguration of short break care provision at Exmoor Grove is an initiative that has been underway for some time and is approaching its conclusion, this review has included consultation with children, young people, their parents and carers. The reconfiguration will see the building refurbished and the staffing and shift pattern changed to deliver a more consistent quality of provision to children and young people who present challenging behaviours. This service only provides for a small number of children in the town but is an invaluable service to families caring for disabled children supporting them to maintain children at home. If this service were withdrawn, the likely impact would be that more families would be unable to care for children with complex needs and challenging behaviours on a full time basis resulting in more children coming into local authority care. Due to the needs of these children, the cost associated with placements, which would need to be commissioned from the independent sector, are high.
- 2.20 The transformation of the Resource team again is a project that has been underway for some time. The savings offered arise from vacant posts within the service, it is the view of the manager of the service and the senior management team that these posts can be better utilised in changing the way the service is delivered, for example over 7 days, not confined to traditional working hours and maximising the resources to provide a contact and transport service.
- 2.21 The Service Delivery Review for the Resource Team achieves its savings by removing posts within the service that are currently vacant.
- 2.22 The reconfiguration of Exmoor Grove has involved consultation with staff and the unions as the changes proposed do have a significant impact upon staff. More recently, due to the change in demand for the service, there has been a surplus of hours and lack of flexibility to cover shift patterns. The reconfiguration reduces the number of staff hours and moves to a system of annualised hours which fits better with the provision of the service (open 4 days per week term time and 7 days per week school holidays). Staff and union consultations have been held. Two members of staff have decided to take voluntary redundancy and the remaining staff are reported to be happy with the arrangements.
- 2.23 This review does not, at this time, offer savings that meet the indicative target set which represents 5% of the division's total budget. It does however, offer a substantial saving that has been achieved through service transformation and reconfiguration. It is proposed that further savings towards the division's target can be achieved through the Service Delivery

Option review of children's social care commissioning which will commence on or before April 2011.

- 2.24 The conclusion of this review is not, however, the culmination of the change and development of the service. The service as a whole is looking at innovative ways to sustain its preventions service and reduce costs associated with children looked after thus redirecting funding into preventative services.

3. RELEVANCE TO CABINET

The report details options for one of the reviews which form part of the Service Delivery Options Programme, is part of the Business Transformation Programme, and is therefore relevant for a Cabinet decision.

4. TYPE OF DECISION

Key Decision, Tests i applies. Forward Plan Ref: **CAS 84/10**

5. DECISION MAKING ROUTE

Cabinet - 22 November 2010.

6. DECISION(S) REQUIRED

- 6.1 Cabinet are recommended to;

- 6.1.1 Cabinet are asked to agree the proposals for the achievement of the £137,469 savings which are summarised in Section 7 of the main report.

- 6.1.2 Cabinet notes that this Service Delivery Option Review does not include services commissioned by children's social care, which will be undertaken in Year 3 of the Service Delivery Options Review Programme.

- 6.1.3 Cabinet notes that the proposals for the outstanding savings target will be included in the review of Children's Social Care Commissioning which will be reported to Cabinet during 2011.

Report of: Director of Child and Adults Services

Subject: BUSINESS TRANSFORMATION – SERVICE DELIVERY REVIEW OPTIONS ANALYSIS REPORT FOR CHILDREN'S SOCIAL CARE AND PREVENTIONS SERVICES

1. PURPOSE OF REPORT

- 1.1 To inform Cabinet on the findings of the Children's Social Care and Preventions Services, service delivery options review and the options appraisal aspect of the review.

2. BACKGROUND

- 2.1 This Service Delivery Review for Children's Social Care and Preventions Services has an efficiency target of £485,500. This target represents 5% savings against the whole division budget (excluding the Youth Offending Service which moved to this division part way through the Review programme) of £9.4M. This Service Delivery Option does not include services commissioned by children's social care as it was previously agreed that this review would be undertaken in Year 3. Therefore whilst an efficiency target has been set, this target includes budgets associated with commissioning which are out with the scope of this review. The savings identified within this review taken with savings identified through the commissioning review should achieve together the efficiency target of £485,500. Although it was agreed this review would be undertaken in Year 1, the savings were to be achieved over the 3 year Business Transformation programme.
- 2.2 This review has a particularly wide scope and the areas covered report to a number of different senior managers within the Prevention, Safeguarding and Specialist Services Division. The review covers interventions across the whole spectrum of need, from a preventative nature i.e. to support families in caring for their own children, right through statutory interventions where children become subject to child protection plans, and some children ultimately being removed from their birth families and placed with permanent new families. All of the teams involved have a part to play in ensuring the wellbeing and protection of children in Hartlepool. **Appendix 1** details the statutory framework upon which the work of the division is based.
- 2.3 Much of the work under consideration in this review is high risk and the welfare of children must always remain a paramount consideration in any reconfiguration of service delivery. However it is recognised since the review started there have been further significant financial

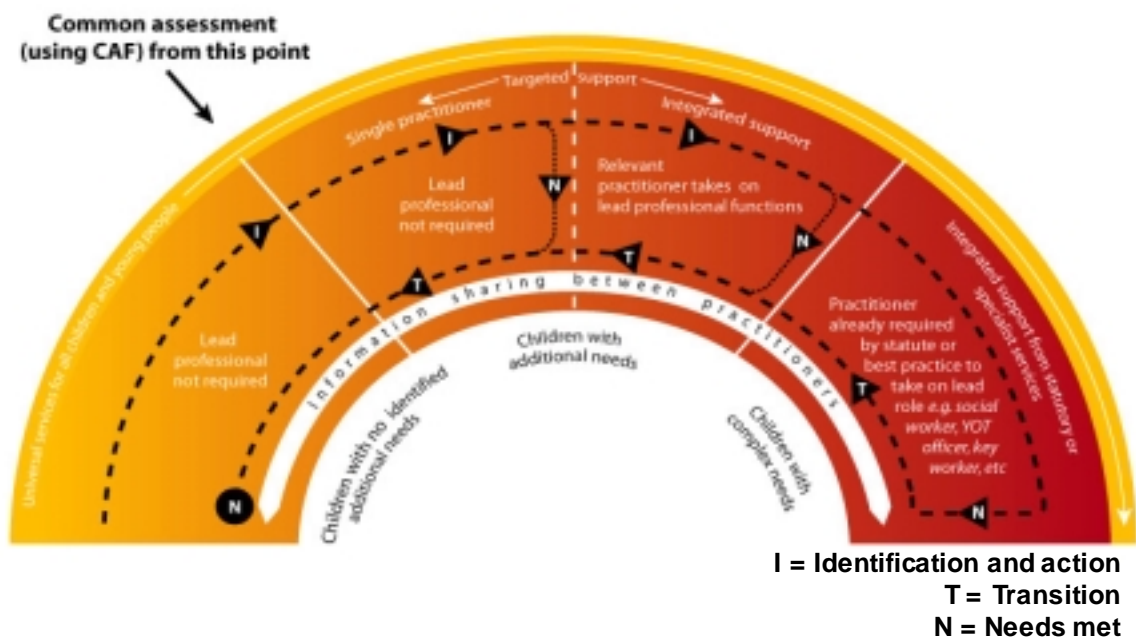
pressures on the council and every effort must be made to identify efficiencies.

3. Context of Prevention and Social Care Services

3.1 Provision of services to children, young people and their families can be best demonstrated by the 'Windscreen Model' pictured below. This breaks children's needs down into three categories are their corresponding level of service need:

- Children with no identified additional needs (universal services, e.g. schools, health provision)
- Children with additional needs (targeted services e.g. education psychology, speech and language therapy, social work support)
- Children with complex needs (specialist services, e.g. child protection or looked after services, Youth Offending Service, Child and Adult Mental Health Service).

The Windscreen Model



3.2 The model above clearly highlights the point where children would benefit from a Common Assessment Framework (CAF) and the development of a 'Team Around the Child' i.e. multi agency practitioners working together to deliver an integrated programme of support. This is the point where the work of the Prevention, Safeguarding and Specialist Services division begins and the service works with children and their families across the remainder of the windscreen to the bottom right. The service promotes the model of intervention where a child's additional needs should be met at the earliest opportunity to prevent problems escalating to a point where statutory interventions i.e. child protection or legal proceedings are required.

3.3 Prevention Service

The Prevention Service has been created in Hartlepool to deliver early intervention and prevention services to children, young people and their families and this was very much in line with the agenda of the previous Government who made available a significant amount of grant funding to develop preventative services. This funding has been used locally to develop the Team Around the School approach, deliver 4 Family Intervention Projects, a significant range of parenting programmes and provide vulnerable children and young people with access to a range of community based support services through the Children's Fund.

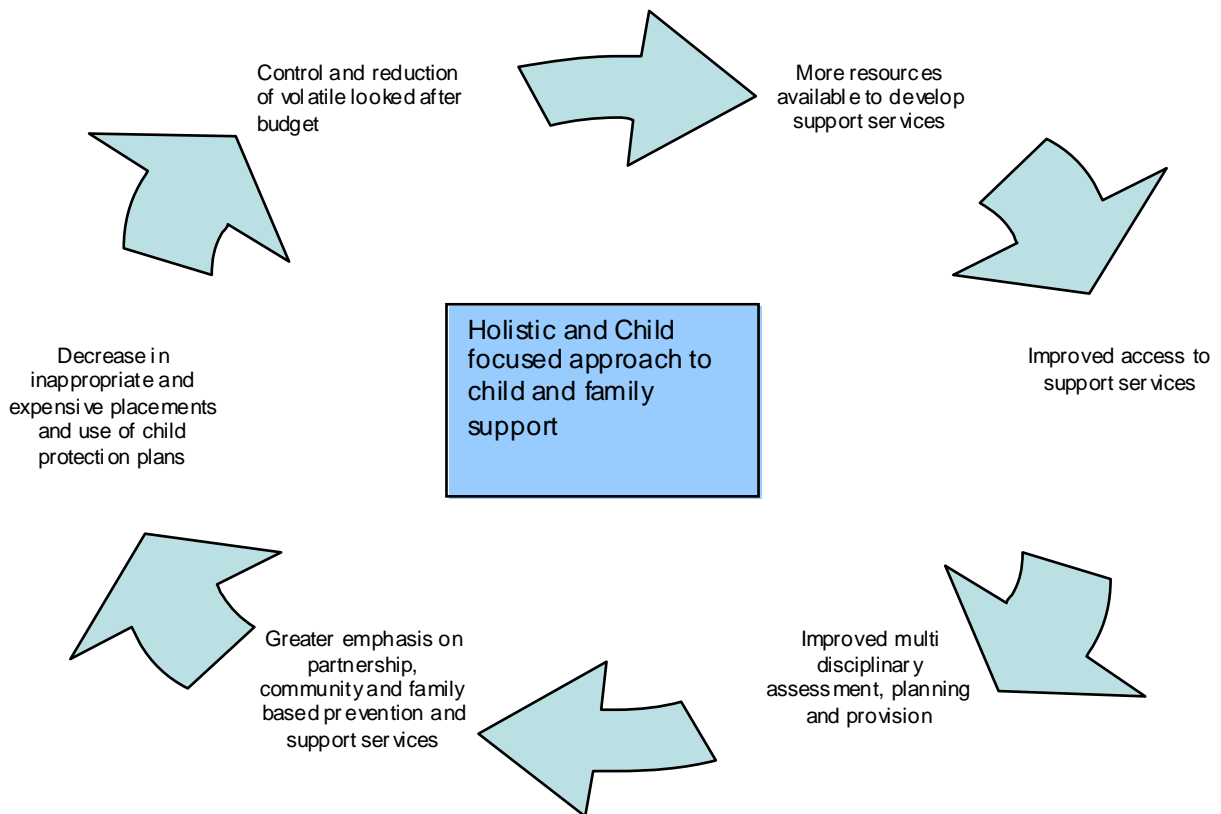
- 3.4 The Prevention Service aims to work through universal services such as schools to provide support to children, young people and their families who are identified as being at risk of poor outcomes, vulnerability and/or have additional needs. The service aims to address emerging problems early to prevent escalation and to date has had some real success in supporting vulnerable families. The 'Team Around the Child' model in place ensures that universal services are supported in their role to take responsibility for the provision of services to children with additional needs and provides a framework and support team to enable this to happen. Too often, practitioners in universal services seek to move children into specialist services such as children's social care when there is an identified additional need. These children may not meet the criteria as laid out under Section 17 of the Children Act 1989 to receive such services and therefore the need will go unmet until such time as the problem escalates and the child has more acute or complex needs. If problems experienced by families go unsupported, there is a high likelihood that the children of these families will require more statutory interventions at a later point for example, through the child protection, child looked after or youth offending service and these services are associated with significantly higher costs than those required to deliver prevention services.

- 3.5 For the past 18 months, the Prevention team has delivered a comprehensive range of services. Since the move of the Prevention team to its current division alongside children's social care, there has been an increasing integration of services and collaborative working to support children who move across the 'windscreen' of need. The overall aim is to move children down the range ensuring that as need is met and children no longer require specialist services, other services are in place to continue to support the child and his/her family. Ultimately it is anticipated that this support will reduce the numbers of children requiring statutory interventions as their needs will be met at a lower level, but the service has not, as yet, been running long enough to achieve that impact.

- 3.6 The current financial climate leaves uncertainty for the future of prevention services and it will be autumn before the council will know

whether any funding will continue to be made available for preventative services. Over the past year the service has been considering its sustainability arrangements post March 2011 and hoped to seek invest to save funding to continue to provide the service to achieve its desired impact on reducing the numbers of children becoming subject to protection plans and becoming looked after. If the 'Virtuous Cycle' of children's services can be achieved as demonstrated below, then the service would become self supporting by a reducing the number of children in care and enabling resources to be redirected to preventative services.

Virtuous Cycle of Children Services (Audit Commission 2006)



3.7 Children in Need, including Children in Need of Protection

Children's social care provides services to children in need (including those in need of protection) under sections 17 and section 47 of the Children Act 1989. Children who are defined as in need under the Children Act 1989 are those whose vulnerability is such that they are unlikely to reach or maintain a satisfactory level of health and development, or their health and development will be significantly impaired without the provision of services. The critical factors to be taken into account in deciding whether a child is in need under the Children Act 1989 are what will happen to a child's health and development without services, and the likely effect the services will have on the child's standard of health and development.

- 3.8 Some children are in need because they are suffering or likely to suffer significant harm. Concerns about maltreatment may be the reason for referral of a family to social care services or concerns may arise during the course of providing services to a family. In such circumstances, the local authority has a statutory responsibility to consider initiating enquiries to find out what is happening to a child and whether action should be taken to protect a child. Where it is found that a child is suffering, or at risk of suffering harm, statutory guidance, 'Working Together to Safeguard Children' (2010) outlines the multi agency arrangements for responding to child protection concerns and this is translated locally by Hartlepool Safeguarding Children Board (HSCB) into the HSCB Child Protection Procedures.
- 3.9 As at 31 March 2010, the service was working with 537 children in need, of whom, 136 were deemed to be children in need of protection and subject to a child protection plan. Over the past 2 years there has been a significant increase in the numbers of children in Hartlepool subject to a child protection plan. There are a number of factors impacting upon these statistics including the internal restructure within the division, the 'Baby Peter effect' and significant changes in the numbers and type of contacts and referrals coming from key partner agencies, most notably the police and probation. On a regional and national level, local authorities are reporting significant increases in numbers of children subject to protection plans, at least 28 local authorities nationally have shown an increase of more than 50%.
- 3.10 This increase reflects the complexity of work social workers are managing and the average social worker caseload is 22.6 children. In order to deliver a safe service for children, social workers must have an appropriate amount of time to fulfil all of their statutory requirements and be effective in the implementation of protection plans to manage the risk of harm to children. If this cannot be achieved, children may be left at risk of harm which has the potential to have tragic consequences.
- 3.11 In April 2010, the Association of Directors of Children's Services undertook a national audit of safeguarding activity and this forms the first phase of a project to evaluate the impact of increased child protection and safeguarding activity and budget pressures associated with those increases. The audit sought to evidence what changes there have been in the volume of safeguarding work since 2007. Responses were received from 105 local authorities including Hartlepool. The audit looked at all areas of safeguarding activity from the numbers of contacts and referrals through to children becoming subject to a protection plan and/or looked after. The report concluded that there has been a significant increase in all activities with no apparent pattern to geographic location or type of authority against a relatively static child population. Local authorities also reported there had been an increase in the complexity of the work, as well as the increase in the volume of activities.

- 3.12 Very recently (June 2010), there has been an announced inspection of safeguarding and looked after services in Hartlepool. This inspection evaluated the services against 33 judgements of which 28 were judged to be good and 5 adequate. Whilst overall a very positive report which affirmed the high quality provision of services to children in Hartlepool, the inspection made the following comment on the capacity of the social work service:

There has been an increase in the number of child protection referrals which has led to a significant impact upon workload pressures. This is being closely monitored by managers and action has been taken to increase the capacity of front line services and to monitor the impact on the overall quality of work produced. Although there are no bottle necks in current service delivery, staff report being stretched at times of peak activity. These pressures are being actively monitored and staff feel confident that senior managers are aware and will take appropriate action to respond.

- 3.13 The increasing workload presents a significant challenge for the fieldwork teams and the service is very close to crisis point in terms of its capacity to meet the level of demand. Added to this, the mismatch of social worker experience to the complexity of work leave the service being closely managed and monitored to ensure that safe practice is sustained.

3.14 Children Looked After

Over the past three years, there has been a 33% increase in the numbers of children looked after and the number at 31 March 2010 was 174 children. Despite this however, the service has, in the past 2 years through improved commissioning and placement planning, reduced the costs associated with children in care. The local authority maximises its in house foster care resource and through the looked after strategy, aims to strengthen and increase this provision further to reduce the reliance on placements delivered through the independent sector.

- 3.15 Although there has been a significant increase in the numbers of children coming into care, the service has been effective in managing this increase in demand through ensuring that plans for children are clear and robustly implemented and only those children who need to be looked after are taken into care. This work will be further developed through the work of the newly created Resource Team which brings together into one team resource workers employed by the service who were previously split into much smaller units. This team is piloting intensive family support packages which are provided over a 7 day week including early morning and evening work. These packages of support work intensively with families to address risk factors that may result in children needing to be looked after and aim to support a family to achieve positive change. Where change cannot be effected, the work provides robust evidence to support any statutory intervention such as court proceedings.

- 3.16 The service has recently produced a comprehensive looked after strategy which is ambitious and when implemented will support improved practice for looked after children, young people and care leavers. One of the key strategic priorities of the strategy is to reduce the numbers of children looked after and to develop a range of local resources, supported by the Prevention Service, that will deliver integrated packages of care in the town to children and young people whose needs are such that potentially very high cost placements out of the area are being considered. If successful, the implementation of this priority will ensure improved outcomes for children and young people and manage more effectively the costs associated with placements in the independent sector. It is through this work the service hopes to move to achieve the Virtuous Cycle of Children's Services. Hartlepool is looking closely at the model delivered by the London Borough of Merton which adopted this approach several years ago and has achieved a significant reduction in the numbers of children looked after as well as improved placement stability for those who remain in care.
- 3.17 As the service becomes more integrated and decisions can be made about the future for the prevention team, the service has a clear pathway for development and continuous improvement. If realised, the service will become more integrated and have a joined up approach to the provision of services to support vulnerable children and their families. The overall aim of this strategy will be meet the needs of children and young people at the earliest point where additional need is identified and provide services through universal services to ensure that concerns do not escalate to the point where statutory intervention is required, thus reducing the numbers of children subject to child protection plans and becoming looked after. In the long term this will lead to better outcomes for children and young people and reduce costs for the council.

3.18 Service Restructure

In considering the service delivery options for prevention and children's social care services, it should be borne in mind that in 2009 the service underwent a significant restructure. This restructure resulted in the creation of the initial Response Team, the bringing together of the resource teams into one large team which enables the service to be more response and a reconfiguration of the Business Units. Evidence from national performance indicators and from the findings of both the unannounced and announced inspection of safeguarding and looked after services in Hartlepool indicates that this restructure has been successful in improving the performance and quality of practice in the division.

- 3.19 The division has also changed significantly in the past year with both the Preventions Service and Youth Offending Service joining the division in October 2009 and April 2010 respectively. The division is now a much larger division, reflecting the Council restructure from five directorates to

three and the retirement of two Assistant Directors employed in the former Children's Services. Whilst this increase in the size of the division places additional demands on the management team, it provides an opportunity to strengthen integrated working, joint planning and ensuring that services for children are seamless, where the team around the child remains constant although the professionals within it may change from time to time as need becomes greater or diminishes.

4. Review Process

4.1 The review team has met on 3 occasions. Parallel to this, due to the size of this review, Senior Managers have organised sub groups which have met to consider individual reviews of each of the following areas:

- Prevention Service (**Appendix 2**)
- ACORN Service (**Appendix 3**)
- Safeguarding, Assessment and Support Services (fieldwork teams) (**Appendix 4**)
- Safeguarding and Review Unit (**Appendix 5**)
- Through Care Team (**Appendix 6**)
- Placement Service (**Appendix 7**)
- Short break care for disabled children (Exmoor Grove) (**Appendix 8**)
- Resource Services (**Appendix 9**)

4.2 Details of each of these sub reviews are submitted as Appendices to this report to support the Service Delivery review process and each reports provides an in depth evaluation of each service area and an option appraisal.

4.3 In considering options for the future it is necessary to consider changing trends in relation to the likely demand for services. Attached at **Appendix 10** is an extract from a report prepared for the portfolio holder analysing activity in children's social care over the last two quarters of 2009/10. This information shows key areas where there is increasing pressure on the work delivered by the division.

5. Option Analysis

5.1 Each individual service review undertakes an option appraisal for the service. For a number of reviews, these options are limited in scope due to the statutory nature of the work undertaken by children's social care. This area of practice is the statutory responsibility of the local authority and therefore the services need to either continue to be provided by the authority or the authority needs to seek for an alternative provider to deliver the service on its behalf. The reality is such that there are no providers currently in existence that deliver children's social care services. The individual service reviews have evaluated the impact and risk associated with the options under consideration

- 5.2 The options that have been considered in this review are as follows:
- Discontinue the service
 - Reduce the level of service provided
 - Commission the service from an alternative provider
 - Continue to deliver the service in its current form
- 5.3 The individual reviews relating to children's social care, with the exception of the resources team and Exmoor have reached the conclusion that the most appropriate option is to continue to deliver the services in the way they are currently configured. As previously noted, the service was reconfigured in 2009 to its current structure and model of service delivery and this change to the service is regarded as being successful by those who work within it. This is supported by the findings from the inspections and the council's performance against the National Indicator Set which demonstrate that the Council is performing well in delivering children's social care and preventative services.
- 5.4 This review has identified two areas of the social care service where further transformation is required. This relates to the Resource Team and the short break care provision provided through Exmoor Grove. With regard to the Resources Team, the review has provided an opportunity to conclude the work started through the service restructure and the Service Delivery Option report proposes a number of changes to the service that can be made to increase its efficiency and effectiveness in supporting the social work task. The review of Exmoor Grove proposes a reconfiguration of the service as a result of the changing needs of the children and young people who use that service. This work had also commenced prior to the start of the Business Transformation programme, however, the programme has provided the opportunity to give consideration to all options for the future provision of short break care to disabled children.
- 5.5 Two reviews relate to the prevention service where the long term sustainability of the provision is uncertain. Given the financial pressures on the local authority and the success of the prevention team achieved to date, the review of prevention service and the Acorn team are intertwined. It has been difficult to undertake a review of the prevention service as the future funding arrangements for the service are unknown. Therefore this review takes the form of a sustainability review and decisions will need to be taken about how the council wants the service to be provided in the future if at all. The service makes a real difference to the lives of vulnerable children and is well received and regarded across the town. It is hoped that if successful in being sustainable, the service will achieve its desired impact of reducing the numbers of children requiring statutory interventions and costs can then be redirected to prevention services making the service sustainable in the long term, however, initially invest to save monies would be required. Some of the budget available from one and possibly two vacant posts within the Acorn team could be used to

support the continuation of some form of prevention service if the Council wishes to support this course of action.

- 5.6 In considering any options/proposals, it is important to be mindful of the knock on effect of any decision relating to the provision of social work services. For example, a decision to reduce family resource workers beyond that proposed would have the effect of placing pressures on social workers to undertake tasks that are currently being completed by resource workers for example, provision of contacts and transport. This would have a detrimental impact on the workload of social workers, increasing it to a point where the volume of work becomes unsustainable and children are left at risk of harm as a result. In this situation, the service would be unable to secure continuous improvement and would be at risk of being regarded as a failing authority in terms of children's social care. Some local authorities, for example Doncaster and Birmingham have seen government intervention where they are deemed to be not fit for purpose and failing in their legal obligation.

6. Financial Implications

- 6.1 The Service Delivery Options (SDO) programme has been designed to review all council activity over a three year programme and is planned to contribute over £3.5m in savings to the Business Transformation (BT) savings of £6m over this period. Each review has a target for savings set at the outset as part of this overall programme and these are assigned to specific financial years in the Medium Term Financial Strategy. For 2011/12 the MTFS forecasts are based on the achievement of £1.3m of Business Transformation SDO savings from 1st April 2011.
- 6.2 The Business Transformation programme was planned, as part of the MTFS, to support the budgetary position of the council through a managed programme of change. The economic climate of the country, and the likely impact of expected grant cuts post general election, mean that the anticipated budget deficits, after all BT and other savings are taken is still expected to be around £4m per annum for each of the next three years. These additional cuts equate to 4% of the annual budget and a cumulative cut of over 12% over three years. In practice there will be some areas Members wish to protect and this will simply mean higher cuts in other areas and/or the cessation of some services.
- 6.3 It has been identified in previous reports to Cabinet that a failure to take savings identified as part of the BT programme (and more specifically the SDO programme) will only mean the need to make unplanned cuts and redundancies elsewhere in the authority. This position has been exacerbated through the economic circumstances and likely grant settlements and failure to implement SDO savings will in all likelihood make the 2011/12 budget position unmanageable owing to anticipated grant cuts commencing this year. In addition, as reported in the MTFS

the Council faces a range of budget risks which exceed the available strategic risk reserve and this funding shortfall will need to be addressed in 2010/11 and 2011/12, which further reduces financial flexibility.

- 6.4 The SDO reviews are attempting to ensure that a service base can be maintained, costs can be minimised and the payback on any investment is maximised. In simplistic terms each £25,000 of savings identified which are not implemented will require one unplanned redundancy with likely associated termination costs. No funding is available for these termination costs as existing balance sheet flexibility is committed to supporting the SDO programme on a loan basis, so higher saving will be needed to fund these termination costs outright.

7. Financial Considerations

- 7.1 The 2009/10 original budget for Prevention, Safeguarding and Specialist Services was £11,445,328. A proportion of that budget was however not within the scope of this review, due to budgets associated with other Business Transformation work streams (e.g. assets/premises costs) and the Service Delivery Option of commissioned services taking place in year 3 of the Business Transformation programme. This review addresses the following areas of service delivery with its corresponding budget and proposed savings:

Service Area	Budget	Savings
ACORN Service	£313,453	£0
Prevention Service	£1,254,943	£0
Safeguarding, Assessment and Support Fieldwork Teams	£2,610,629	£0
Safeguarding and Review Unit	£222,725	£0
Placement Service	£2,723,389	£0
Short break care for disabled children (Exmoor Grove)	£592,298	£66,006
Resource Services	£905,989	£71,463
Through Care Team	£736,183	£0
Total	£9,359,609	£137,469

- 7.2 The efficiency target for Prevention, Safeguarding Specialist Services is £485,500 which represents 5% of the total budget.

8. Options for Savings

- 8.1 Options for savings may be considered in relation to the level of risk associated with each. The Service Delivery Options review on all of the above service areas has identified a total saving of £137,469 which represents 1.4% of the service budget under review. These savings could be realised at low risk to the council but with a transformation of existing provision which is due for review and change.

- 8.2 The future in relation to preventative services is uncertain, and at this stage, no savings are being offered from that service. It is proposed that this review is evaluated again in the autumn following the outcome of the Government spending review. There are potential options for savings associated with the Acorn team which could be added to the total service savings towards the indicative target, however, at this stage, it is recommended that these savings are deferred until further information is known.
- 8.3 The service is not offering any savings associated with statutory provision of children's social work services. As noted in this report, the capacity of the service is stretched and caseloads of social workers are high. To reduce the number of social workers, as the vast majority of this budget relate to staffing costs, would place the council in an untenable position of risk. This risk would arise from higher and unworkable caseloads for social workers preventing them from fulfilling their statutory responsibilities to children, young people and their families and consequently leave children vulnerable and at risk. Failure to deliver effective social care services for children leave the council at risk of statutory intervention by the Government for failing to meet its duties.
- 8.4 Over the coming three years and through the implementation of the Children Looked After Strategy, the service will continue to develop and implement its agenda to reduce the numbers of children looked after. This will involve a review and transformation of the foster care provision delivered by the council and the development of a number of initiatives to support children in their families and communities so that only those who must become looked after do so. If this programme is successful and a reduction of the number of children in care can be achieved, further savings can be realised to move the council into the virtuous cycle of children's services.

9. Consequences and Impact

9.1 Impact on Service Users

A Diversity Impact Assessment has been completed and is attached at **Appendix 11** to this document. This assessment concludes that the changes proposed within this document will not have a differential/negative/positive or adverse impact on any individuals on the grounds of gender, age, disability, sexual orientation, race/ethnic origin or religion/belief.

- 9.2 If the savings identified in section 7 are accepted, the impact upon service users will be positive. They will benefit from an improved and more responsive service better equipped to meet their needs. The reconfiguration of short break care provision at Exmoor Grove is an initiative that has been underway for some time and is approaching its conclusion, this review has included consultation with children, young

people, their parents and carers. The reconfiguration will see the building refurbished and the staffing and shift pattern changed to deliver a more consistent quality of provision to children and young people who present challenging behaviours. This service only provides for a small number of children in the town but is an invaluable service to families caring for disabled children supporting them to maintain children at home. If this service were withdrawn, the likely impact would be that more families would be unable to care for children with complex needs and challenging behaviours on a full time basis resulting in more children coming into local authority care. Due to the needs of these children, the cost associated with placements, which would need to be commissioned from the independent sector, are high.

- 9.3 The transformation of the Resource team again is a project that has been underway for some time. The savings offered arise from vacant posts within the service, it is the view of the manager of the service and the senior management team that these posts can be better utilised in changing the way the service is delivered, for example over 7 days, not confined to traditional working hours and maximising the resources to provide a contact and transport service. In the past, as the council has reduced its residential care provision, it has transferred the staff to community based posts within the division. This resulted in the service being well staffed but fragmented. The proposed changes reduce the number of staff but maximises the way in which they work to deliver flexible and responsive packages of support to children, young people and their families. Therefore the impact of this review will be positive.

9.4 **Impact on Staff**

The Service Delivery Review for the Resource Team achieves its savings by removing posts within the service that are currently vacant. Over the past year and in preparation for this review, as posts have become vacant, these have not been recruited to in order to maximise the resources available to reconfigure the service and deliver saving required through the Business Transformation process. In the intervening period, some staff in the team have had to take on work that has not, previously, been required of them, for example transports and contacts. This has led to some disquiet in the service, albeit staff have cooperated. The aim of the creation of a sessional budget is to release more experienced staff from this area of work and create a pool of trained sessional staff who can undertake this task as required. The impact of this therefore on staff will be positive as they will, largely, be released from this work to undertake more direct work with children and intensive packages of support to families.

- 9.5 A proportion of the staff in the team are employed to work flexibly and over weekends and receive an enhancement for this, other staff work a traditional working week although some are willing to work flexibly when required of them. The move to flexible working hours and enhancement will enable those staff who are willing and interested in

working more flexibly to opt into this arrangement and ensure they receive the same terms and conditions as colleagues within the team. Other staff do not wish to pursue this option and will continue to work as currently contracted. Therefore this review will provide greater parity and choice for staff. In summary, the changes proposed to the resource team will have a positive impact on staff and lead to greater job satisfaction and morale.

- 9.6 The reconfiguration of Exmoor Grove has involved consultation with staff and the unions as the changes proposed do have a significant impact upon staff. More recently, due to the change in demand for the service, there has been a surplus of hours and lack of flexibility to cover shift patterns. The reconfiguration reduces the number of staff hours and moves to a system of annualised hours which fits better with the provision of the service (open 4 days per week term time and 7 days per week school holidays). Staff and union consultations were held during June 2010 with officers from the division and human resources advisors and issues arising from this have been resolved. Two members of staff have decided to take voluntary redundancy and the remaining staff are reported to be happy with the arrangements. The costs associated with the redundancy are £27,114 and the staff left the service on 1 September 2010.
- 9.7 These proposed changes will have an impact on staff, however, these issues have been addressed through the review process.

10. Comments from BT Programme Board

- 10.1 The BT Programme Board considered the Options Report on 21st October.
- 10.2 Members considered the report at length and noted the split with the Children's Social Care Commissioning review which is to be undertaken in next years Service Delivery Options Review Programme. Members noted that this review had identified a total saving of £137,469 which represented 1.4% of the service budget under review and that further savings towards the target should be achieved through next years Children's Social Care Commissioning review totalling £348k (which is the balance of the originally agreed target).
- 10.3 It was noted that much of the work under consideration in this review was high risk and the welfare of children always remained a paramount consideration in any service reconfiguration of service delivery and noted the service was not offering any savings associated with the statutory provision of children's social work services.
- 10.4 Members were supportive of the reconfiguration of Exmoor Grove, moving to a system of annualised hours and felt that the service should use staff already employed by the Council as they were aware of the clients and service and understood the Hartlepool ethos.

- 10.5 Members felt that any good practice from elsewhere regarding arrangements which worked well for children and also saved money should be considered.
- 10.6 Members of Programme Board indicated their agreement to endorse the recommendations contained within the report which Cabinet would be asked to approve.

11. CONCLUSION

- 11.1 Over the past 9 months, Service Delivery Option Reviews have been undertaken across the whole of the Prevention, Safeguarding and Specialist Services division. This has been a challenging review given its scope and size and the number of different managers involved in the process. This overarching report aims to bring together the context of the review and summarise the proposals.
- 11.2 This review does not, at this time, offer savings that meet the indicative target set which represents 5% of the division's total budget. It does however, offer a substantial saving that has been achieved through service transformation and reconfiguration. It is proposed that further savings towards the division's target can be achieved through the Service Delivery Option review of children's social care commissioning which will commence on or before April 2011.
- 11.3 No savings are being offered at this time from the social work teams delivering children's social care services. This report has argued that the capacity of these teams is already overstretched and to reduce staffing would be an unsafe decision leaving children at risk which is unacceptable. The council provides a good quality children's social care service, this has been recognised through a recent 10 day inspection of safeguarding and looked after services. The service considers that it is best placed to continue to provide these services to vulnerable children in Hartlepool.
- 11.4 The conclusion of this review is not, however, the culmination of the change and development of the service. The service as a whole is looking at innovative ways to sustain its preventions service and reduce costs associated with children looked after thus redirecting funding into preventative services. This is to be achieved through the implementation of the looked after strategy and the development of localised integrated packages of care. The service remains acutely aware of the financial pressures on the local authority and will continue to work to deliver services in the most effective and efficient way possible. In the last two years, the service has moved from a position of significant overspend to one of significant underspend and looks to continue to achieve further savings.

12. RECOMMENDATIONS

- 12.1 Cabinet are asked to agree the proposals for the achievement of the £137,469 savings which are summarised in Section 7 of the report.
- 12.2 Cabinet notes that this Service Delivery Option Review does not include services commissioned by Children's Social Care, which will be undertaken in Year 3 of the Service Delivery Options Review Programme.
- 12.3 Cabinet notes that the proposals for the outstanding savings target will be included in the review of Children's Social Care Commissioning which will be reported to Cabinet during 2011.

Contact Officer

Sally Robinson

Assistant Director of Children's Services (Safeguarding & Specialist Services)

(01429 284144)

sally.robinson@hartlepool.gov.uk

5.3 Appendix 1

Legal and Policy context of Service Delivery

The Children Act 1989 provides the basic framework for services for children, and gives local authorities the legal responsibility for children “in care”. The key responsibilities for children in care are:

- Children in public care must be the primary focus for the resources and accountability of the local authority which has accepted a parenting responsibility for them.
- Children who have spent a significant time being looked after by the local authority should afterwards be given the kind of support that decent and responsible parents would give to their own children.
- Children in the public care and other children in need, including disabled children should be provided with a fully rounded set of support and care services, in partnership with in particular health and education services. Without such support more children will be placed in public care.
- There is a duty on the Local Authority to ensure that Children in the public care should have contact with their parents, families and otherwise significant individuals in so far as it is in the Best Interests of the Child.

The Children Act 1989 also dictates that it shall be the general duty of every Local Authority to

- To safeguard and promote the welfare of children within their area who are in need; and
- So far as is consistent with that duty, to promote the upbringing of such children by their families,

by providing a range and level of services appropriate to those children's needs.

Schedule 2 parts 8 and 9 makes specific reference to the duty of the local authority to make such provision **as they consider appropriate** for the services to be available with respect to children in need within their area whilst they are living with their families –

- Advice, guidance and counselling
- Occupational, social cultural or recreational activities
- Home help (which may include laundry facilities)
- Facilities for or assistance with travel to take advantage of such facilities

- Assistance to enable the child concerned and his family to have a holiday

Every Local Authority shall provide such family centres **as they consider appropriate** in relation to children within their area – the meaning of a family centre is given as a centre which a person may attend to receive advice guidance or counselling or for occupational, social, cultural or recreational activities.

The Children (Leaving Care Act) 2000 requires the Local Authority which last looked after the young person to draw up a Pathway Plan, provide them with their own advisor, setting out the services needed to help the young person make the transition to adult life. This includes financial and other support for as long as they continue in further or higher education, recognising that financial support does not usually come to an abrupt end at the age of 16.

The Adoption and Children Act 2002 substantially overhauled adoption law in this country, replacing the 1976 Adoption Act. It aligns adoption law with the Children Act to ensure the welfare of the child is paramount and confers new duties on local authorities to provide adoption support services and on the courts to ensure that adoption cases progress with appropriate speed.

The Carers and Disabled Children Act 2000 enabled local councils to offer any services that they judge will support carers and help maintain their health and well being. Councils have the power to supply services direct to carers following assessment and carers have the right to an assessment of the needs of the person cared for, even if s/he refused it. Those with parental responsibility for a disabled child also have a right to ask for an assessment.

The Children Act 2004 gives effect to legislative proposals contained in the core document **Every Child Matters** to create clear accountability for children's services. It places a duty on services to ensure that every child, whatever their background or circumstances, to have the support they need to:

- be healthy - physical and mental health and emotional well being
- stay safe – protection from harm and neglect
- enjoy and achieve - education training and recreation
- make a positive contribution to society - both in childhood and as adults.
- achieve economic well-being – both socially and financially

What does this mean for Children and Families?

- Easier access to information and advice services at a local level
- Earlier support for parents experiencing difficulties
- One point of contact for information and assessment

- A statutory requirement for a Children & Young People's Plan to identify priorities across all organizations with a responsibility for children and young people.
- Ensure the welfare and safety for children and young people who may be at risk

The Childcare Act 2006 formalised the important strategic role Local Authorities play through a set of new duties. These duties will require authorities to:

- improve the five Every Child Matters (ECM) outcomes for all pre-school children and reduce inequalities in these outcomes
- secure sufficient childcare for working parents
- provide a better parental information service.

The Children and Young Persons Act 2008

- extends the duty on local authorities to appoint a personal adviser and keep the pathway plan under regular review to young people who are former relevant children (i.e. care leavers who are over 18) and who start or resume a programme of education or training after the age of 21 but under the age of 25 years;

SERVICE DELIVERY OPTIONS**PREVENTION**

1. PURPOSE OF REPORT

- 1.1 To investigate the options available to provide prevention services to Families in Hartlepool.

2. BACKGROUND

- 2.1 In 2001 Hartlepool Borough Council was successful in attracting a grant to support a Children's Fund Partnership to develop preventative services for families with children aged 5 – 13 years old. In September 2001 the Children's Fund Manager was appointed and the first services opened in November the same year. Although Hartlepool already had a very proactive approach to supporting families early this was the first time that specific funding had been provided for prevention targeted at this age group. The Children's Fund Programme has three main principles.

- Supporting services in the third sector.
- Early prevention.
- The participation of young people.

- 2.2 In 2003 the Government produced guidance for Children's Fund Partnerships that indicated that 25% of the grant was paid into services managed as part of the Youth Offending Service. In Hartlepool this was seen as an opportunity to develop a Youth Inclusion Support Panel (Hartlepool Intervention Panel) that gave all partners the opportunity to share information on families and work together to provide preventative services.

- 2.3 The work on prevention has developed through this clear partnership between Children's Services and the Safer Hartlepool Partnership. The concurrent development of children's centres and extended services, positive activities and targeted youth work have all combined to leave Hartlepool in an excellent position to target families and individuals early to try and secure a positive response to interventions before issues escalate to a level that will require statutory intervention.

- 2.4 The prevention services that have been developed in Hartlepool and described in this report are based on learning available from the Children's Fund and the Family Intervention Panel that has been piloted since 2007.

- 2.5 In December 2007, the Government published the Children's Plan that clearly set a framework for integrated working and ensuring that all services put families and children at the forefront of developing services.

- 2.6 In 2008, during the consultation for the Hartlepool Children and Young People's Plan, a group of staff discussed the issues of access to schools and the need to focus services in a way that supported families through early intervention. At the same time concerns about access to services were being voiced by Headteachers who were feeling isolated in their attempts to support families. The coming together of these two local agendas with the Governments' push for

integrated services culminated in the planning and execution of the Team Around the Schools project.

- 2.7 In January 2009 the Team Around the Primary School became operational.

3. PREVENTION SERVICES

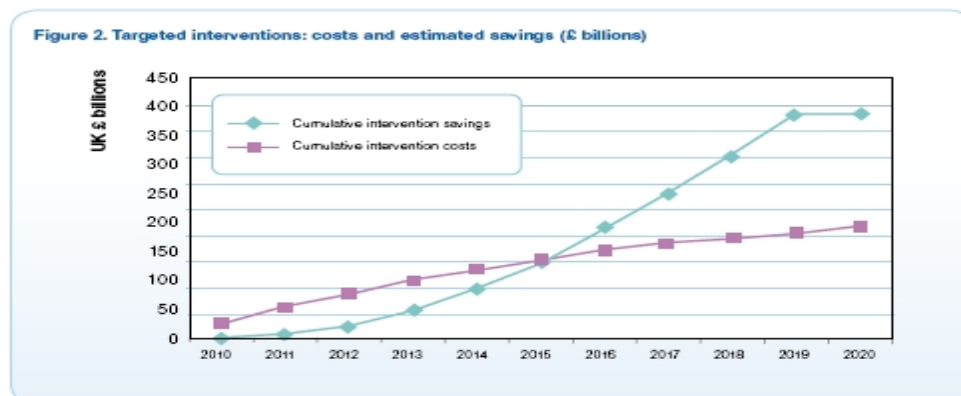
The Case for Preventative Services

- 3.1 At a time of reducing resources it is timely to reflect on the need for prevention services. Preventative services are not specifically included in legalisation which therefore heightens the need for a robust case to be developed for resources to be allocated to this element of work.
- 3.2 There are two elements to this case that need highlighting. The first is the evidence that shows that preventative services are effective. It is only then that evidenced based research can be used to analyse the most effective model for early intervention.
- 3.3 Research has only recently been undertaken to evaluate the impact of prevention on wider society. The recent document **“Backing the Future: Why investing in children is good for us all”**¹ “sets out an economic and social case for preventative services. It sets out research that shows *“that investing now to promote child well-being is in the public interest, not just because it ensures more effective use of public resources but because it delivers improved social outcomes and ultimately benefits us all.”*

It goes on to say that:

“By continuing to focus our investments on remedying social problems, we are fuelling a system that is forever over-stretched through trying to solve problems it played a significant part in creating. It is only by making a holistic transition to a preventative system at the policy and service level that we can hope to see the levels of improvements in outcomes required to reverse current trends.”

- 3.4 The following diagram indicates the estimated savings nationwide over a period of time:



This shows that potential savings over a period of time can exceed the investment needed at the outset.

¹ Backing the Future: why investing in children is good for us all (2009), New Economics Foundation

3.5 The model for preventative services

The need to root preventative services firmly in universal services is critical to the success of prevention. By the nature of universal services all children and families access these, therefore providing the link to additional support for the most vulnerable children and families. This is supported in the research document² as follows:

“A key proposition of this research is that universal services are an essential foundation if we are to build and maintain a better and more equitable society.”

“Schools, extended schools and children’s centres features in most of the effective practice case studies covered in this paper and, where they do, appear to play a vital role in contributing to the delivery of a “continuum of support.”³

3.6 Research also shows that The Think Family approach is crucial to the effectiveness of the interventions.

“The effectiveness of interventions, as reported by project workers and evidenced in the analysis seem to be dependent on addressing the functioning of the family unit as a whole as well as individual members within it.”⁴

3.7 This has also been highlighted in research in the evaluation of Family Intervention Projects.

“Results for the 699 families that completed the intervention show overwhelmingly positive improvements across a wide range of measures”⁵.

3.8 The need to support improvements in children’s wellbeing is great. The Good Childhood Inquiry⁶ sets out research with children and young people on a number of themes one of them being family. Young people gave the following evidence to the inquiry:

“I think all kids should have the right to live in a happy place where they feel safe and loved. I haven’t felt like that in some time but I know my parents don’t mean it. It’s just they argue and take it out on me.” 14 years old

“I wish I could make all children’s parents love them.” 11 year old.

“I think people should listen to kids more. Adults never seem to truly listen, and we have good ideas.” 12 year old

3.9 Research is beginning to show that working with the family in their own home environment is providing improved outcomes. This is shown in a number of pieces of research as below:

² Backing the Future: why investing in children is good for us all (2009), New Economics Foundation

³ Early Intervention – Early Messages (2010), C4EO

⁴ Backing the Future: why investing in children is good for us all (2009), New Economics Foundation

⁵ Anti Social Behaviour Family Intervention Projects, monitoring and evaluation, 2009, National Centre for Social Research

⁶ The Good Childhood Inquiry, (2009) The Children’s Society

“This important message of “what works” has been embraced by most of the effective practice case studies through an emphasis on home visiting and outreach.”⁷

“Overall there is some clear evidence of benefits to home visitation programmes.”⁸

3.10 Building on the findings from the research indicated above, services in Hartlepool have been designed to take into account the following principles:

- Preventative services must be built around universal services.
- Children and young people’s voice(s) must be heard in the development of preventative services.
- A Think Family approach is implemented throughout preventative services.
- Integrated working is critical to ensure that The Think Family approach is implemented effectively.
- Parenting is a critical factor that impacts on children’s outcomes.
- Research is beginning to show that working with families in their home environment is showing improving success.

3.11 The development of the prevention service was led by the Planning and Integration Division of Children’s Services in partnership with colleagues from Community Safety and the Youth Offending Service using grant funding provided by Government (see funding). In order that the different elements that make up the service are given the best opportunity to provide an integrated process, a prevention business unit was formed by seconding services from different divisions in the local authority with colleagues from the third sector. The service was transferred to the Prevention, Safeguarding and Specialist Services division in October 2009. Each of the separate elements of the business unit are crucial to the development of integrated services but are also extremely important in their own right. This section of the report will focus on these individually.

4. Common Assessment Framework (CAF)

4.1 The Common Assessment Framework has been developed in Hartlepool and there has been a commitment to this across all stakeholders. The development of the process is now in an operational phase that will need to deliver a process which is easy for professionals to use, easy for families to understand and most importantly, provides a base from which positive outcomes can be achieved for children. To ensure that this process is successful, Cabinet agreed to provide the funding for a **Common Assessment Framework Co-ordinator** to be established within Children’s Services. This is a pivotal role in supporting integrated processes and ensuring that interventions are both timely and proportionate. The Co-ordinator post sits in the prevention services business unit and operates across all services championing the process and providing training, guidance and support to colleagues who require it. In addition, this role has been key to establishing a monitoring process that gives the Children’s Trust and Local Safeguarding Children Board (LSCB) clear information regarding outcomes following Common Assessment based interventions. The roll out of CAF has been reported to the Portfolio Holder, LSCB and the Children’s Trust on regular occasions.

⁷ Early Intervention – Early Messages (2010), C4EO

⁸ Cost Benefit Analysis of Interventions with Parents, (2008), London Economics

- 4.2 The OfSTED inspection in June 2010 identified the use of the common assessment framework within Hartlepool, combined with outstanding work in respect of the 'team around' process, as enabling earlier forms of intervention to meet the identified needs of children, young people and families. The role of the common assessment framework across all sectors within Hartlepool was described as 'adequate' with signs of a gradual increase in uptake and breadth of services involved. It also recognised more work needed to be done in order to further embed and establish a clearer pathway with regards the role of CAF within the Authority
- 4.3 Since the appointment of the CAF Co-ordinator the training for multi agency staff has been developed, **Appendix A** details how this training has been accessed.
- 4.4 With the change of Government and the discontinuation of contact point it is thought that Hartlepool will commit to developing eCAF as the primary source of tracking information. eCAF will provide Hartlepool with a secure consent-based IT system for practitioners to store, access and share information captured through a Common Assessment Framework (CAF). This will provide the Authority with an evidence based view of the current levels of need and provision required to support families at the earliest opportunity. eCAF will increase and improve integrated working at both an organisational and individual worker level and will generate a much clearer picture as to the overall quality and length of time families and children receive support through the early intervention process.
- 4.5 The CAF Co-ordinator is an integral part of the prevention service and is currently a substantive post in the Area Based Grant. The role is job evaluated at Social Worker Band 13. There is currently no clear budget for the CAF programme and the training costs are currently met by workforce development from the Integrated Services Training Grant. The future of this grant is uncertain post March 2011. eCAF is purchased from Liquidlogic but does not have associated running costs; these will need to be factored into future funding arrangements including ICT support that is not provided by Liquidlogic.
- 4.6 It is likely that CAF and eCAF will be fully integrated by April 2012 and that this will give us the opportunity to develop the role of the CAF Co-ordinator in a way that strengthens preventative services and the early identification of vulnerability.
- 4.7 The monitoring of the CAF system is currently being transferred to the services Monitoring, Evaluation and Admin Officer who will maintain the database and be the first point of contact for CAF and eCAF enquiries as part of her role. This post is currently paid through the "Think Family Grant" and is consequently vulnerable in March 2011.

Service Delivery Options Common Assessment Framework

Option	Strengths	Weaknesses	Opportunities	Threats
Continue the services as currently configured but tailored to suit available resources.	Provides continuity with regards to current progress and future developments / support.	Continued long-term salary commitment to the Co-ordinator post and responsibility / accountability CAF may get lost in the development of other services if not embedded well initially.	Currently exists as the service / post is already in place This option allows for the professional development of the post-holder and gives the department a range of opportunities dependent on need.	Increased stretch on ever decreasing finite resources The post-holder may not have the developmental time to continue to promote the use of CAF.

Option	Strengths	Weaknesses	Opportunities	Threats
Recommission Services with a new set of outcomes based on current learning.	Financial and resource implications sit outside of the directorate.	Undermine the progress made to date by doubling or shifting accountability for CAF.	As part of a SDO exercise the opportunity exists for this option to be commissioned.	Reluctance for external organisations to be willing to accept financial responsibility or additional resource implications.
Establish the service as a partnership of interest.	Create new shared ownerships of the CAF process within the Authority.	Undermine the progress made to date by doubling or shifting accountability for CAF.	Exists by pooling budgets and resources through the Children's Trust membership.	Reluctance for external organisations to work in partnership without any additional funding or financial support.
Close the service	No resource of financial responsibilities in relation to the CAF Co-ordinator or CAF process. This will enable us to develop the skills of the current post-holder across the division to fill identified gaps. The role of the CAF Coordinator is one that has been designed to be flexible and developed to respond to need. This option will give us opportunities for service development.	The authority no longer deliver on their statutory obligation of implementing and maintaining a Common Assessment process. CAF will not be embedded and integrated services will not be effectively developed.	Opportunity implemented via an SDO review. Current post-holder can operate in other areas of the department.	Directors of Children's services in partnership with local agencies are responsible for implementing CAF as part of the Children Trust arrangements under section 10 and 11 of the children Act 2004. We will not achieve integrated working that is centred on a shared assessment tool.

5. Parenting Support

- 5.1 Hartlepool's Parenting Strategy was agreed by Cabinet in 2007. Since that time a strategy development group has worked to ensure that this has been translated into operation. The former Department of Children, Schools and Families (DCSF) provided a range of funding streams to support this work and Hartlepool is now offering accredited Parenting Programmes constantly throughout the year.
- 5.2 Barnardos North East provides two key staff to the Parenting Project and both of these staff are seconded into the team. **The Parenting Co-ordinator** has responsibility for ensuring that all those parents who require a parenting course are able to access one. This service includes support for parents before, during and after they have attended a course. The other member of the Barnardos team who is responsible for parenting as part of the prevention services is the **Parenting Expert** who provides specialist support and advice to all colleagues working with families as well as providing a one to one service for those parents in the most need. The team is completed by a Parenting Buddy whose job is to prepare and encourage nervous parents to participate in the service. This element of the service has proved to be particularly successful in providing supported access for the most vulnerable and hard to reach families, many of whom have maintained their engagement in services. Due to the dramatic rise in numbers Barnardos have also allocated other staff hours to the project from their central budget thus adding further value to the service.
- 5.3 The parenting support provided by Barnardos is paid for through the Think Family Grant that is no longer ring fenced. We do not yet know if this funding will be replicated in any way by the new Government. The current progress indicates that the arrangements to co-ordinate and support parenting provision is effective and Barnardos are adding value to this process through the allocation of resources outside of those being funded through the grant.
- 5.4 In 2009/10 Hartlepool received £145,000 funding to provide early intervention parenting programmes to families with children aged 5-13 years. This funding is used to train staff from a wide range of services in accredited (Triple P, Strengthening Families and The Nurturing Programme) and other parenting courses. In 2010/11 the service received £120,000 to provide training. This funding is held by the Parenting Commissioner within the local authority and used to fund the day to day expenses of running an effective parenting programme. In total the Parenting programmes for 2010/11 have had a budget of £220,000. As a result of this funding there has been an increase in parents attending parenting courses (see table below) with the total predicted attendance in 2010/11 of 500 parents.
- 5.5 The vision for parenting in Hartlepool is being achieved through the implementation of strategic goals and actions including:
- The centralisation of parenting referrals.
 - The co-ordination and accountability of programmes delivered across the town.
 - The significant increase in staff now trained as parent-trainers.
 - The increased range of programmes and interventions on offer to parents.
 - The expansion of the team to include a Parenting Buddy.
 - Training/development of new programmes to meet local needs.

- A continuum of support from early intervention through to opportunities for parents to gain employability skills.
- Encouraging and supporting parents to set up their own support groups.
- Listening to parent's ideas on marketing and how we engage parents to improve our reach.
- Recognising that the parental support we provided should be ongoing as different stages of childhood bring different problems that will need an early intervention.
- Intensive one to one support and intervention to parents whose children are particularly vulnerable or at risk, due to substance misuse, neglect, domestic violence or other difficulties.

5.6 Using these strategies, many more parents have been engaged than originally anticipated. These effective strategies can clearly be seen in the increase in parents accessing our service:

<u>Parents Accessing Programmes</u>	<u>Year</u>
48	2007/2008
169	2008/2009
342	2009/2010
<u>Predicted</u> 500	2010/2011
<u>Parenting Receiving 1:1 Support</u>	<u>Year</u>
66	2009/2010

5.7 The **342** parents that accessed programmes in 2009/10 were targeted parents identified as needing additional support for example, child protection, parents requiring intensive support whose children have been removed from their care, behaviour problems (from mild to conduct disorders) and children considered vulnerable or at risk. Referrals came from a wide variety of agencies, but in particular: social care, schools, Family Intervention Projects, Youth Offending Service and Children's Centres. The **66** parents receiving 1:1 support from the Parenting Expert or Senior Practitioner/Coordinator were parents with complex, multiple issues that seriously impacted on their children's well-being.

5.8 The strategies the service has used have been particularly responsive to parental needs. The service has placed as much emphasis on the recruitment and nurturing of parents **before** they access a programme as it does when they attend a programme and as a direct result of this the service has managed to increase targeted parenting support dramatically. This strategy helps the most vulnerable parents access a service and allows staff to build a relationship with parents to ensure they are ready to commence a programme, prior to it starting. This also has the benefit of targeting resources at parents who will have a much greater capacity to fully complete a programme and so gain maximum benefit from the intervention.

- 5.9 After completion of the 10 week programme, parents are motivated to continue other programmes and further training, such as gaining employability skills, literacy/ numeracy classes through Adult Education and family learning through Children's Centres. In 2009/10, 99 parents went on to access other programmes and training.
- 5.10 The provision of a crèche for the parenting programmes has ensured that the targeted vulnerable parents (who often have more than five children) are able to access support. Without crèche provision it is very difficult for a single parent with no family back up to access any kind of intervention that needs a commitment of half a day per week for 10 weeks. Each parent who attends a course completes a questionnaire before and after the programme. Data collected is currently being collated and analysed to inform service evaluation.
- 5.11 The linkage with Children's Centres (every parent who attends a programme and who has children under 5 is immediately registered with their local Children's Centre) ensures parents are accessing further activities in their local communities and are able to access other services more readily. Parents are also offered opportunities to become involved in their community by staff consulting with them about what services they would like to see happening locally.
- 5.12 The Parenting team also provides parenting support to parents of children in Secondary Schools throughout Hartlepool. This service provides access to programmes and 1:1 support as it has become apparent that many parents of adolescent children are isolated from parenting interventions and support. Parents are allocated to the team through the TASS (Team Around the Secondary School) arrangement and the number of parents of adolescents the team is presently working with (54) is increasing.
- 5.13 There are plans to train a number of parents in the autumn to become parent-trainers themselves. These are parents who would have been considered "hard to reach" or "challenging" parents; they are now not only blossoming but seeing improved relationships with their children and a range of improvements in their children's' lives and have become involved in supporting other parents through their difficulties. In addition, there are parents who help transport other parents to programmes, who have become involved in volunteering for charities and who have become an inspiration to everyone.
- 5.14 Parenting programmes work in Hartlepool by:
- Making the programmes available, acceptable, accessible and affordable.
 - Using programmes that are independently shown to work.
 - Supervising and supporting parent-trainers.
 - Having strong management to coordinate all the elements involved and by defining the population and pursuing non-attenders.
- 5.15 In addition to the funding directed through the prevention strategy, each primary school has been allocated funding to provide a **Parent Support Advisor**. This role links in with the Team Around the Primary School to provide an "in school" response to families and most importantly to provide a positive link between home and school. Each school has had some funding and although each school may take a slightly different approach to the development of this service the key

outcomes is a more positive interaction between school and parent. An additional bonus from this funding is the essential link between the Team Around the Primary School and the Parent Support Advisor that results in an even more effective early referral process. The Behavioural Support Co-ordinator from the Performance and Achievement division is providing support to the Parent Support Advisors that includes a training programme and a network to support learning. At the time of writing a number of Parent Support Advisors have completed training in providing The Nurture Programme. It is expected that the link between Parent Support Advisors and the Parenting Co-ordinator will continue to be developed. In the recent White Paper Your Child Your Schools Our Future, the role of the Parent Support Advisor and other support staff in schools is highlighted as a major initiative to be further developed. The White Paper goes on to identify that it is expected individual schools may be in the position to make their own decisions about the continuation of this role.

6.0 Service Delivery Options For Parenting Services

6.1 The Children's Trust, Children and Young People's Plan and the 0 – 11 Partnership have all identified improved parenting as a major factor in developing children's resilience and reducing the need for services to intervene. The tackling Child Poverty initiative that has been set as a council cross cutting theme relies heavily on the role of parents. Local, regional, national and international research recognises that the quality of parenting is unequivocally linked with children's outcomes.

6.2 There is no identified budget within the Local Authority for parenting intervention and all developments have been through the Think Family Grant.

Option	Strengths	Weaknesses	Opportunities	Threats
Continue the services as currently configured but tailored to suit available resources.	The service as it has been developed relies on the role of a coordinator to manage the day to day delivery of the service. It is possible that this key role could facilitate other partners to stay involved. The role of the parenting expert works with the most challenging and hard to reach parents.	The current funding of £100,000 that has bought services from Barnardos has not been secured. Nor has funding for running costs. This may mean that we have to lessen our ambition and simply focus on targeted families. Short term funding will have to be found to manage the service on an invest to save basis.	This option gives the potential to renegotiate costs for the service and to use the current learning to ensure a more tailored process.	This may lead to far fewer courses being available and consequently family issues developing into ongoing crisis that will require specialist services.

Recommission Services with a new set of outcomes based on current learning.	We will be in a position to refocus parenting skills and our commitment to them as a preventative process.	A total recommissioning exercise will take many months and rely on an already stretched commissioning team. As we currently have a model that is proving effective we may have to deal with TUPE claims from the current provider.	This allows us to start with a totally new project that will focus on supporting statutory services and cusp of care cases.	We may lose the universal offer that is currently engaging with parents from across the range of social and financial backgrounds. Fewer courses will lead to more concerns.
Option	Strengths	Weaknesses	Opportunities	Threats
Establish the service as a partnership of interest. (This option depends on the authority taking on a range of service provider partners who are willing to share investment in the project and contribute funding to it).	This would enable services to work together to develop pooled funding and a partnership approach to the further development of the parenting service and allow partners to "buy into" the partnership agreement through staffing or additional funding raised from alternative sources. This may include partners in the Children's Trust such as PCT and schools. This will build on the project commissioned in 2010/11.	The commissioning team may be unable to find a way that this can be done with local partners who currently provide services and hold the expertise. Funding may not be available to our third sector partners from external sources. Partners may not be interested in working together with parenting as a priority. Partners will be a range of providers who will all have to raise funds to put into the project.	We will strengthen partnership working and enhance opportunities to raise additional monies with third sector partners.	Managing the services will be complicated as service providers will have a range of core businesses that may conflict.
Develop services within the local authority.	Provision will be developed as part of council provision using staff in post with relevant roles across the departments.	Staff are currently under great pressure with statutory work and will not find the time required. We do not currently have staff with the updated skill set required.	Short term finance will not have to be secured. Staff in appropriate roles will become more skilled as a consequence of taking on the new work.	Staff who currently have the training and expertise will be lost to the services. Parents may refuse to engage with statutory services. We have invested heavily in staff from partner organisations and this investment will be lost.

Close the service	There will be no expenditure outlaid.	It is likely that very few parenting courses will operate as all organisations trim back there spend. Progress made in developing the service will only have limited success and future parenting failures will go unaddressed unless escalated to social care teams.	N/A	The likely consequences are that parenting courses will cease to be available in Hartlepool unless partners are able to identify grants for specific purposes from external sources. The area will lose a range of expertise from across partners.
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7. Hartlepool Children's Fund

- 7.1 In 2001 Hartlepool Borough Council was successful in attracting a grant to support a Children's Fund Partnership to develop preventative services for families with children 5 – 13 years old. Although Hartlepool already had a very proactive approach to supporting families early this was the first time that specific funding had been provided for prevention targeted at this age group. The Children's Fund Programme had three main principles.
- Supporting Services in the third Sector.
 - Early Prevention.
 - The Participation of Young People.
- 7.2 In 2003 the government produced guidance for Children's Fund Partnerships that indicated that 25% of the grant was paid into services managed as part of the Youth Offending Service. In Hartlepool this was seen as an opportunity to develop a Youth Inclusion Support Panel (Hartlepool Intervention Panel) that would give all partners the opportunity to share information on families and work together to provide preventative services.
- 7.3 The work of the partnership has been based on constant feedback from children and parents. The initial activities programme was based on research completed by Julian Penton in early 2001. This research showed that parents wanted somewhere safe for their children to play that was well supervised and locally based. The children wanted regular safe and exciting activities with their friends.
- 7.4 With this in mind the partnership decided to establish an activity base in the North, South and Central areas of the town and consequently commissioned West View Project, Manor Residents Association and Belle Vue Community Sports and Youth Centre through a competitive process.
- 7.5 It was agreed at this stage that all places on the Children's Fund would be allocated through referral and that schools would be the key referrers. This partnership decision has resulted in schools having a key role in the identification of children and families who have additional support needs. In addition this was the start of very close relationships between primary schools and the voluntary sector organisations that have provided the service.

- 7.5 In January 2010 Hartlepool Children's Fund activity bases in South, North and Central Hartlepool and the mentoring programme were recommissioned. These bases support over 100 children a week on a referred basis with each child getting at least one activity session. The programme also provides a one to one mentoring project that was designed after some young people made it clear that they could not cope with the group process.
- 7.6 The current services and service providers are:
- Mentoring – Barnardos Hartbeat
 - Activity South – Manor Residents Association
 - Activity North – West View Project
 - Activity Central – Belle Vue Community, Youth and Sports Centre.

The Children's Fund services are managed through the Team Around the Primary School and all referrals come from primary schools in the town as part of integrated services.

- 7.7 Each child who attends an activity centre or the mentoring has a set of targets that have been agreed by the referrer, the family and the child. This plan will form the basis of the placement and will be monitored by staff at the activity centre. The types of issues included in these plans are anger management, relationship building and getting on with peers. Since the start of the Children's Fund programme 69% of children have achieved the targets in their plan.

Hartlepool Children's Fund External Evaluation Key Findings

- 7.8 Hartlepool Children's Fund has a history of external evaluations since it started in 2001. In 2002 Ge-research, an independent company based in Thirsk, were appointed by the partnership as a requirement of grant conditions. Ge-research provided annual evaluations until 2005 when funding for this work ceased. The evaluation was positive identifying the importance of prevention to families and included a number of case studies. In addition the evaluation was clear about the need to maintain partnerships between the statutory and third sector when developing services. Ge-research clearly identified the potential that Children's Fund had to provide the base for a new prevention service based on partnership and linkages to schools. In effect this potential has been realised through the Team Around the School process now in place.
- 7.9 In May 2009 Hartlepool Children's Fund service providers commissioned an external evaluation of the whole programme. This evaluation has been undertaken by Redwyde Consultancy. The final point in this report notes

"The Children's Fund in Hartlepool is a beacon of embedded good practice. It has led to positive, trusting relationships between agencies that support each other in developing innovative responses to the needs of children and families. Children are listened to, and their needs form the core of inter agency strategic planning. It has opened new opportunity to whole families."

Funding and Monitoring

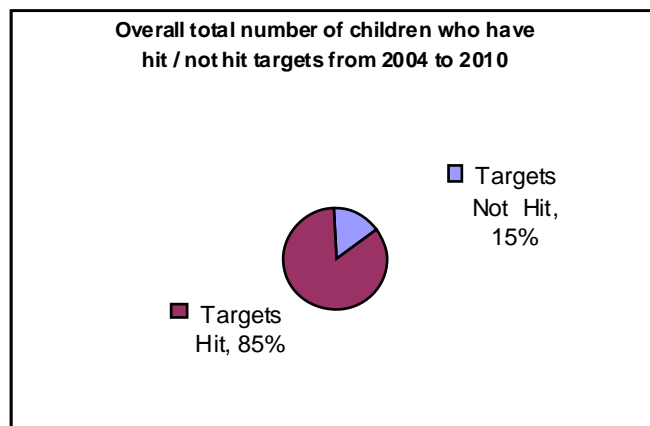
- 7.10 The Children's Fund is in the area based grant and is currently set at £395,000. This funding has been identified as key to providing preventative services. The breakdown of current funding is placed in three separate categories.

Funding of Activity Centres and the Mentoring Programme.	£215,000
Funding that is supporting the Team Around the Primary School	£110,000
Funding that is supporting the Participation Strategy	£ 70,000
Total	£395,000

- 7.11 The Children's Fund is monitored through the TAPs process and managed by the Parenting Commissioner. The activity of the service over the last six years is as follows:

Total number on register at July 2010		211
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Year	Number who were referred to the service that year	Number of exits for the service that year
2010 (to date)	101	148
2009	135	61
2008	166	135
2007	146	115
2006	129	116
2005	139	72
2004	43	6
Overall total number of children who have accessed / exited the service from 2004 to 2010	859	653



9.6 Options for Future Children's Fund Services

Children's Fund referrals have benefited from wider programmes funded by the partners as a result of their engagement. These projects funded from a wide range of sources are a significant part of each host partner's wider programmes. It is estimated that annually across the activity centres an additional £300,000.00 is drawn across the programmes to benefit projects within the communities,

Children's Fund support has been an essential lever in enabling the Children's Activity centres to access this further funding.

Option	Strengths	Weaknesses	Opportunities	Threats
Continue the services as currently configured but tailored to suit available resources.	This gives us the option of maintaining some service and will enable us to use current contracts as the basis for future service. May enable providers to continue to bring in external funds.	May compromise seven day a week cover and the length of sessions for young people. Will have an impact on the viability of some third sector providers. We will not be in a position to provide enough funding to keep third sector providers viable.	Will continue to provide interventions for some of our most vulnerable children through a referred process. Will be able to track the progress of vulnerable children and develop their resilience. Children's Fund will be in place to provide prevention activities in partnership with other prevention services.	Without this process communities will not have locally based resources and will consequently have to rely on statutory based services for their support.

Recommission Services with a new set of outcomes based on current learning.	Will give us the opportunity of commissioning services alongside other commissioners on a provider or area basis and focusing on providers who can meet a range of needs cost effectively. This could be based on localities or communities of interest Builds on the strong services and partnerships currently in place and establishes a new structure where the power does not necessarily sit solely with the local authority. This may include schools (Cluster Groups), third sector and others.	This service went through a commissioning process in 2009/10 and to do this exercise again will not teach us anymore. The commissioning team may be unable to find a way that this can be done with local partners who currently provide services and hold the expertise. Funding may not be available to our third sector partners from external sources. Partners may not be interested in working together with parenting as a priority. Partners will be with a range of providers who will all have to raise funds to put into the project.	Possibility of learning from current practice and developing refined service. Will be able to develop the service linked with TAPS and the BESD cluster of schools in each area.	This process will take time to develop and may not be practical until 2012. thus making no saving in 2011.
Close the service.	Funding currently allocated to the services in the Area based grant will be saved for redistribution.	Service providers in the third sector will no longer have core funding to support a range of services for 5 – 11 year olds that may end up requiring specialist services.	Funds will be saved.	Elected members are very concerned about the role of the local third sector in services and Children's Fund is seen as vital to maintain provision for children aged 5-11.

8. Team Around the Primary School (TAPS) and Family Intervention Projects

- 8.1 The Family Intervention Project (FIP) element of the Prevention Service originated from the work developed by the RESPECT Unit to tackle Anti Social Behaviour. The programme has been reported through the Portfolio for Community Safety and the Cabinet. The Team Around the Primary School arrangement has also been reported to Cabinet after additional funding was secured to provide a poverty FIP (8th December 08). At that meeting Cabinet supported the model being developed and requested that a commissioning process be entered into to decide the service provider team.
- 8.2 Since reporting to Cabinet in December 2008 the projects have moved forward there are now the three teams providing services across the schools in South, North and Central areas of the town. At the request of the schools the project has been aligned with the behaviour clusters in order that to integrate the services provided by the team with those provided by the school and extended services.

Staffing

- 8.3 The TAPS team consists of 14 members of staff who are split into three locality teams of North, South and Central. Each team comprises of one social worker and a team of interventions workers that have been seconded in from a number of partner agencies including police, youth offending service, Housing Hartlepool and community and voluntary sector organisations such as Harbour, MIND, Belle View Project and Headland Futures.
- 8.4 The table below shows the funding streams for members of the TAPS Team. There is also a worker who was initially seconded from the Connexions Service, (now paid from Think Family Grant), who specialises in diversionary activities for young people at risk of offending and anti social behaviour. This worker links closely with the Team Around the Secondary School (TASS) arrangement in relation to pupils in their transition year.

Staff Role	Budget	Total
Prevention Services Manager	Substantive Post (initially ASBO FIP) mainstreamed 2009	44,394
TAPS Monitoring Evaluation and Admin Officer	Poverty FIP	25,596
Social Worker	Poverty FIP	31,373
Social Worker	Area Based Grant	31,373
Social Worker	Area Based Grant	31,373
TAPS Worker x 2	ASBO FIP	60,000
TAPS Worker x 2	YCAP FIP	70,000
TAPS Worker x 3	Housing FIP	111,000
TAPS Worker Mental Health	Child Poverty	24,000
TAPS Worker Domestic Violence	Child Poverty	24,000
TAPS Worker Parent Support	Child Poverty	24,000
TAPS Worker Fatherhood	Child Poverty	24,000
TAPS Worker Transitions	Area Based Grant	32,379
Total		533,488

- 8.5 In addition to this, the project has access to workers who specialise in emotional literacy and debt advice via funding made available to the Belle Vue Centre from NDC.

- 8.6 The TAPS approach consists of three tiers of support:

Tier 1 – Advice and support to staff around support services and the CAF (common assessment framework) and TAC (team around the child) processes. This tier also includes social worker advice and support to staff around any welfare concerns.

Tier 2 – Low level support to children and families for example assisting parents for a short period of time until the relevant service becomes involved or offering advice and support around a specific issue. This could include 1:1 or group work with a child for a short period of time.

Tier 3 – Family support provision where a worker takes on the role of lead practitioner and co-ordinates the support package for the family.

- 8.7 The team has made links with all of the 31 primary schools and have had discussions around 100 plus families via the low level TAPS process. Positive achievements have been made with families and it is believed that in some cases, the support offered has prevented escalation of a situation and the need for specialist services to become involved.

- 8.8 In addition tiered support above offered to families, assertive and intensive packages of support are implemented by the Family Intervention Project (FIP). FIP families should have a history of being involved in statutory services or failing to engage with services. The FIP is a high level preventative service that is intensive in terms of its approach with families and works with those families where they may be:

- A) At risk of enforcement action due to anti social behaviour.
- B) At risk in terms of children/young people becoming involved in offending behaviour.
- C) At risk in terms of living in impoverished home conditions as a result of substance misuse, domestic violence, mental health and/or intergenerational worklessness.

Service Delivery Options TAPS/FIP

Option	Strengths	Weaknesses	Opportunities	Threats
Continue the services as currently configured but tailored to suit available resources	The TAPS service is still new and is beginning to make an impact through work with families. The service has not been in place long enough for clear judgements to be made about long term effectiveness. This option will enable the continued testing of the model based on redesigning the service to meet financial limitations.	Totally dependent on some funding being available to support the process.	Decisions will need to be made regarding the key roles that need to be maintained for services to be sustainable and this can be done through a single service review. Will clarify the need for universal services to pick up their responsibilities for low level issues.	Aspects of the project that relate to early intervention are lost as a consequence of pressure to work with higher threshold cases.
Recommission Services with a new set of outcomes based on current learning	The model developed in this service where partners pool budgets to provide a service is one step removed from the current position where the local authority have commissioned on a best value basis with the providers picking up shortfalls in cost. Real value for money is achieved.	Partners may not have the other funding options. Will need a new commissioning framework that will require commissioner's time.	Will allow time to focus on recent learning and put these into practice. Will enable authority to engage with partners such as schools and the third sector to develop and fund a service modelled on current learning.	This will not be achieved before March 2012.

Close the service	This will enable any available funding to be distributed elsewhere.	All of the good practice developed in the past year will be lost. Relationships with schools will once again be dependent on access to specialist service. Services will be reactive rather than preventative. Children will be more vulnerable than they are at present. Potential for the TAPS service to prevent families requiring more expensive specialist services will be lost.	This will save any expenditure from the budget.	This option leaves vulnerable children in situations that can quickly become unsafe.
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9. PREVENTION SERVICE STRUCTURE

- 9.1 The prevention service brings together staff from Children's Services, Community Safety, The Youth Offending Service and Third Sector Partners. The service is led by the Parent Commissioner who has line management, case management and financial responsibility for aspects of the service that link with Primary Schools.
- 9.2 Each partner in this project maintains responsibility for their own staff and consequently this enables costs of the project to be shared.
- 9.3 At present, Jesmond Road School provides the team with a base for the project. This has worked extremely well initially with both the school and the team gaining added value from the relationship.
- 9.4 Currently the prevention team in the Youth Offending Service operates in the Team around the Secondary School process and is not in any way formally linked to other services. It may make sense to look at a model that brings all of the prevention services together in one service to further develop across age ranges, establish think family and tackle transition issues.

10. FUNDING AND MONITORING

- 10.1 The following grants are currently being utilised to provide the funding for prevention services:

Children's Fund	£395,000	Area based Grant
Poverty FIP	£250,000	DofE
ASB FIP	£ 49,000	DofE
Youth Crime Action Plan	£175,000	DofE
Parenting Grants	£245,000	DofE
Housing FIP	£83,706	DofE
HBC (to ASB FIP)	£57,237	HBC
Total	£1,254,943	

- 10.2 These grants initially came into the Authority through a number of different routes and consequently we had established a small finance group to manage the budgets. The group is chaired by the Service Manager and includes a Finance Officer from Children's Services and Community Safety, In 2010/11 these budgets were transferred to Child and Adult Services.
- 10.3 The fact that major elements of this project are funded by DofE grants provides access to local, regional and national monitoring processes. In particular, the Family Intervention Project has a national web based monitoring framework (NATCEN) that facilitates good shared learning. In addition, the service is collecting case specific information based on a six week baseline assessment followed by the setting of individual targets for each family member. The assertive nature of this project ensures that the service has clear evidence of changes that families make as a consequence of interventions. There are key objectives around the reduction of anti social behaviour, return to training or work and access to services tackling mental health and parenting support. The service is currently in the process of developing more accessible data collection systems that give us reliable information across the service and local performance measures against which to evaluate the effectiveness of preventative services.

11. Conclusion

- 11.1 The major element of the prevention service is made up of grant funding from the Department of Education. This funding continues until March 2011, any future funding made available for preventative services, if any, will not be known until the Spending Review in October 2010. In terms of the Service Delivery Option, the long term sustainability of the service at this time is unknown, therefore no funding is being offered to the savings target from the prevention service. Findings from research related to prevention and early intervention services demonstrate that investment in these services yield long term benefits, both to children, young people and their families and to providers of services as early intervention reduces the likelihood of escalation of problems to the point where higher cost services such as care are required.
- 11.2 Early indications of work in Hartlepool are that the services delivered by the Council, in partnership with other organisations and the third sector are starting to make a difference to the lives of children. These services are being delivered through universal services in the town and supporting those services to fulfil their responsibilities to children and young people rather than immediately seek to

refer them to more specialist services such as children's social care. However, the service has only been fully operational for 18 months and this has not yet allowed sufficient time for the full impact upon more specialist and statutory services to be fully effective and measured.

Appendix A

COMMON ASSESSMENT FRAMEWORK TRAINING OCT 09 – JUNE 10

Date	Description	Attendees
07/10/09	Parent Support Advisor and Team Around Primary Schools – Half day training session	38
15/10/09	PATCH - Half day training session	8
28/10/09	Barnardos – Half day training session	20
04/11/09	High Tunstall College of Science – 4 x 1 hrs blocks	20
17/11/09	Manor College TASS – 1hr	15
18/11/09	High Tunstall College of Science – 4 x 1hrs aw areness raising session	20
19/01/10	Sacred Heart Primary School – 2 hr aw areness raising session	20
20/01/10	Multi-agency CAF training – Full day training session	15
02/02/10	Senco Forum – 1hr aw areness raising session	15
09/03/10	English Martyrs – 1hr aw areness raising session	15
16/03/10	Multi-agency CAF training – Full day training session	25
01/04/10	Care Co-ordination key worker training– 2hr support session	8
15/04/10	Multi-agency CAF training – Full day training session	20
28/04/10	West View Advice Project – Full day training session	8
11/05/10	Multi-agency CAF training – Full day training session	23
12/05/10	Multi-agency CAF training – Full day training session	7
13/05/10	Multi-agency CAF training – Full day training session	28
14/05/10	Multi-agency CAF training – Full day training session	14
16/06/10	Multi-agency CAF training – Full day training session	20
22/06/10	Multi-agency CAF training – Full day training session	8
25/06/10	Employment Training Education Providers – Full day training session	25
06/11/09	11 million day - Dyke House Comprehensive School – Involving young people in evaluating the CAF process	50
	Total number of staff that have attended a blended learning style session	179
	Total number of staff that have attended multi-agency full day core training	185

Future full day core multi-agency training dates:-

2010

15th + 29 September / 13th + 28th October / 11th + 23rd November / 16th December.

2011

19th January / 17th + 25th February / 16th + 30th March / 15th June / 14th September / 8th December.

SERVICE DELIVERY OPTIONS

The ACORN Service

1. Scope

This paper will undertake a review of the services provided by the ACORN Therapeutic Team which delivers therapeutic interventions to children and young people in Hartlepool. This review does not include the Parent Commissioner, which was considered under the management review work stream.

2. Context

Therapeutic Services for children are separated into 4 tiers:

Tier 1 Emotional development through universal services such as schools.

Tier 2 A more targeted response to children and young people who are feeling vulnerable, are behaving erratically or in distress

Tier 3 Children, young people and families with the more complex and challenging mental health problems/disorders.

Tier 4 Serious mental health issues that require intensive support including residential or in patient.

In the past ten years services to support the emotional development of children and young people have been developed within a number of organisations providing services to children and families. This has generally been through the development of group work to develop emotional resilience with children identified by their school. A number of providers such as Barnardos, Hartbeat and Harbour have staff with a range of skills in delivering these group processes.

Hartlepool has developed a new preventative programme based around schools. These services consist of a virtual team of partners in the secondary schools and a team of workers led by a manager linked to each of the primary schools. These teams have changed the complexion of services to children in the town and have led to other services such as the Education Psychology Team realigning themselves to better fit with the new services. The substance misuse services and the Child and Adolescent Mental Health Service have also linked into this new way of working. The local third sector organisation MIND has staff members in the Team around the Primary Schools Service and is developing its counselling service for children. Another third sector organisation “the Haven” is providing a counselling service to young people over 13 years old. In addition to these services the Hospice provides a bereavement service.

Throughout these developments ACORN has continued to provide a therapeutic service for children aiming its service at tier 2 and 3 cases with specific skills being developed in work around attachment and recovering from abuse and behavioural issues. The staff team are highly skilled and motivated to provide therapeutic services.

Crucially there is not a unified referral process to therapeutic services. This has clear impacts on the provision of the service in so much as referrals tend to be scattered across the services dependent on the knowledge of the range of services, or lack of

it, of the referrer. Key to the outcome of this service delivery option paper is the need for an integrated referral pathway and a clear range of available services. This review will take into account the current context set out in this section as well as the likely developments in the future.

3. Current Delivery

3.1 Funding

Local authority maintained service with an annual budget of £313,453. (This includes the Parent Commissioner salary which was reviewed under the Tier 4 Management Review work stream of Business Transformation)

Staffing	Budget	Total
Employees		215,697
Premises		1,532
Transport		7,948
Supplies		10,655
Support Services (Central Recharge)		77,621
Total		313,453

3.2 Role/Outcomes

The purpose of the team is to provide a therapeutic service to children aged 3 - 18 years old.

The Acorn Therapeutic Team consists of 3 qualified Social Workers, registered with the General Social Care Council and a qualified Play Therapist currently seconded from Belle Vue Centre (role has been job evaluated in preparation to transfer to a contract within the Council).

The Team offers individual therapeutic work and support to children and young people who are experiencing behavioural and emotional problems for a variety of reasons. Any parent or agency may refer a child to the team. In general referrals come from Schools, the Education Psychology Service and the Social Care Teams. Recently the 'Team Around the School', both primary and secondary, have made referrals.

The service provides a range of interventions based on play therapy and has worked with children with a wide range of needs including;

- Sexual Abuse
- Physical Abuse
- Neglect
- Behaviour Problems
- Attachment Difficulties
- Anxiety
- Domestic Abuse
- Poor Sleep Patterns.

The service is highly valued by those families that access it and this has been clear from responses gathered as part of the exit data.

4. Structure

4.1 Existing staffing and contractual arrangements

The full staffing complement is 3 therapeutic social workers and 1 play therapist who is seconded to the service from the third sector (process has started to bring into the authority and is well advanced with HR). Currently however the team is in a diminished state with one member of staff seconded to a grant funded project a vacant post due to the retirement of the postholder in April 2010 and the play therapist reducing her hours to 3 days a week. This leaves the service with 1 full time Social Worker, one Social Worker Vacancy and one temporary Social Work Vacancy.

4.2 Outcomes Monitoring

In the past ACORN have used an excel database to record their work, however the information contained in it focussed on inputs/outputs and it is difficult to draw any clear practice conclusions from it. The team worked with clients from a range of a few weeks, through to 19 months, and the table below show the use of the service between 2007 and 2009.

Cases Open

<u>Year</u>	<u>Jan</u>	<u>Feb</u>	<u>Mar</u>	<u>April</u>	<u>May</u>	<u>Jun</u>	<u>July</u>	<u>Aug</u>	<u>Sep</u>	<u>Oct</u>	<u>Nov</u>	<u>Dec</u>
<u>2007</u>	6	1	7	2	1	6	9	5	1	8	8	4
<u>2008</u>	10	4	9	15	10	7	18	11	8	6	1	8
<u>2009</u>	5	10	4	4	7	0	2	0	4	1	2	0

<u>Year</u>	<u>Total</u>
<u>2007</u>	56
<u>2008</u>	107
<u>2009</u>	39
<u>Total</u>	202

Cases Closed

<u>Year</u>	<u>Jan</u>	<u>Feb</u>	<u>Mar</u>	<u>April</u>	<u>May</u>	<u>Jun</u>	<u>July</u>	<u>Aug</u>	<u>Sep</u>	<u>Oct</u>	<u>Nov</u>	<u>Dec</u>
<u>2007</u>	6	2	2	4	3	4	4	11	3	6	6	3
<u>2008</u>	3	4	3	4	1	0	2	2	5	13	13	5
<u>2009</u>	4	6	12	7	1	4	13	5	0	5	4	6

<u>Year</u>	<u>Total</u>
<u>2007</u>	52
<u>2008</u>	55
<u>2009</u>	67
<u>Total</u>	174

Length of time cases were open

<u>Months</u>	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19
<u>Number of Cases</u>	35	9	10	6	3	7	4	6	6	6	2	2	1	1	2	0	1	0	1

The information available comes from a case file count and shows that this is a well used service that maintains a consistent rate of referrals coming through to the service. The fact that the service is not part of a comprehensive therapeutic pathway is one of the issues for a small high demand service that relies on the skills and expertise of a small number of staff who make many casework decisions based on their expertise and assessment of the progress of the child. The figures shown in the tables above are in part the result of the fact that there is no agreed pathway or referral strategy across therapeutic services and the waiting list process has been relied on to such an extent that at times the whole system can, and has, become blocked. This happens because the referrals accepted by ACORN are generally extremely needy individuals who do not meet the access criteria for statutory services. This issue of a small high demand service is exacerbated by the fact that the complexity of cases is neither predictable nor uniform with the key control of the service being provided by the capacity of the team to respond to need.

The awaiting allocation list, by the end of 2009, had children that were waiting for more than 180 days after an agreement had been made that their need for therapeutic input was appropriate but a member of the team was not yet able to provide the work. These young people were not given a service and are another illustration of the lack of agreed pathways in the current system. This is of particular importance to the options set out in this review as it illustrates that a therapeutic service cannot operate in isolation. It also indicates that despite the current developments in emotional resilience work the coverage is still patchy across the town.

These numbers have remained steady despite a number of staffing issues that could not be avoided. The figures in 2008 reflect the type of capacity a fully staffed therapeutic service would expect to be reaching. This is a very important factor as when the service is working well preventatively it is diverting children from using statutory and other services.

In 2008 calculating on the basis of the funding of the therapeutic workers, each child that received a therapeutic service by ACORN will have cost £2,340. It is likely that with a fully resourced service, targeted at the right client group, the service should be seeing 150 children a year at the cost of £1,685 each. This will obviously be cheaper if the service were doing more work using community space for some of their consultations. These figures are based on 150 children visiting the service on average six times and although therapy is not that straightforward this does give us a starting figure. Some of the more specialist services such as Filial Therapy supporting foster carers is long term work that will impact on the target of 150 children. This number also takes into account other services that ACORN may wish to develop such as professional consultation and support.

In addition to providing a therapeutic service there is a clear emerging need to use the expertise available in the team to support the development of colleagues and to direct and shape the work they do with children.

5. Service Delivery Options

5.1 The need for therapeutic Services

Staff across the children's workforce are constantly identifying children and young people who require a therapeutic input. The history of the Acorn Team in Hartlepool suggests many children have suffered some trauma that requires specialist support. The referral figures indicate a need as well as a block to accessing services to meet

the need. Other organisations such as the Child and Adolescent Mental Health Service (CAMHS) have a statutory responsibility to provide a therapeutic service. Regionally and nationally local authorities have a mixed response to the delivery of these specialist services. Indeed the CAMHS service has recently had a national review that made recommendations regarding accessibility, prevention and supporting the workforce to develop greater awareness of child development. What was clear from this review was the national need for therapeutic services. In addition regional commissioners are about to enter their own recommissioning programme that will focus on regional CAMHS and services that link with them. This follows the current implementation of the TAMHS programme in Hartlepool primary schools that will provide preventative processes that should be the start of a therapeutic pathway. In addition Hartlepool MIND has recently supported and is now managing a young people's service called CHANGES that is beginning to impact on service provision.

There is a service for those children who are sexually abused and who present sexually harmful behaviours in Middleborough (Bridgeway) and Redcar and Cleveland are currently investing in their child guidance programme. Hartlepool has in the past accessed the Bridgeway Service and paid for this service on an individual case basis. With the numbers of young people requiring a service at tier 2 and 3 commissioning on a case by case basis will prove extremely expensive and would need to be approached as a fully commissioned service. In an internet search of North East Therapeutic Services only three options came up and one of these was Bridgeway. It is likely that this result indicates that regionally local authorities deal with children who require therapy through in house services. Sunderland, for example, has a partnership of providers that meet weekly as a panel to agree resources in an integrated process including CAMHS and Education Psychology. This is a model that officers have looked at and is possible in Hartlepool.

Anecdotal evidence from, MIND, ACORN, CAMHS and the Education Psychology service indicate that there is unmet need across tiers 2 and 3. In particular those children who require an individually tailored service due to unforeseen trauma need a service at a time that is right for them. An example of this is that current practice is that these children will be referred to CAMHS by a general practitioner or to ACORN by a school or both services will receive a referral. In addition colleagues in social care who are working with children in need have used the services extensively and the need for this support is still a priority.

Hartlepool has a number of children who have been sexually abused and who are suffering as a consequence. The ACORN team has expertise in supporting these children quickly and effectively. This is particularly important at a time when the cost of such interventions is nationally increasingly expensive and places in these services are difficult to access.

The ACORN Team currently sits in the Prevention, Safeguarding and Specialist Services Division. This division has a clear need to access the services provided by the therapeutic team both as providers of services, mentors for ongoing work with children, advice on specific cases and training in aspects of childhood emotional trauma. This will ensure shared learning and will lessen the need to engage external trainers and experts.

5.2 Value for Money

The need for therapeutic services is clear in terms of the support provided to individual vulnerable children who receive the service. It is however a preventative service that is targeted at those children who require it. Like most preventative

services it is difficult to take a full measure of the success of any intervention as often the benefits will be realised over a life time. However, some judgements can be based on local regional and national research, for example that children who live with parents who have mental health issues have an increased risk of developing similar illness if not supported. Childhood trauma has a major impact on adult life if appropriate interventions are not put in place. The interventions provided by ACORN are designed to make an impact on children at an early stage in order that they can continue to thrive despite their trauma. In addition those children whose trauma is expressed through challenging behaviour are highly likely to become of major concern to all services. These children become increasingly vulnerable and require more specialist services, generally these children are the ones who become subject to a protection plan, involved with the Youth Offending Service or looked after when they reach their teenage years. The ACORN service intervention provides some of the protective and resilience factors that are so important to children if they are to achieve their potential and avoid negative consequences. As part of a range of preventative services ACORN will have an impact on the numbers of children who cease to be vulnerable or who do not require specialist services. It is vital that this service delivery option is seen in the context of the developing preventative process and in the context of making investments to save spending on specialist services at a later date.

5.3 Prevention Services

The major element of change involved in each of the delivery options below is the linking of therapeutic services with preventative services. This is vital as the principle of early identification and intervention will ensure that children receive support that is both timely and effective. The options that result in the continuation of the ACORN service each provide a clear link to other services that ensures the therapeutic intervention is no longer provided in isolation but become a fundamental element of the preventative process. This will have to include clear links with staff from other services that ensures the provision of consultative support to other professionals as well as input into individual and service development.

6. Service Delivery Options

The options listed below are designed to ensure that the ACORN therapeutic service is maintained in a context that is viable in terms of delivery and value for money. The only option that makes considerable savings from this service is the final one that discontinues the service. The other options provide a range of decisions that enable the continuation of the service whilst adjusting the resources available. Currently ACORN is funded to provide four practitioners to run the service. At the present time we have two practitioners in post and one of these is seconded to another role. This current state of affairs provides the opportunity to configure the service differently to provide opportunities for therapeutic interventions linked with prevention services. There is then an option to save on staff costs or reinvest in other aspects of the service.

6.1 Option 1 – Maintain the current operation

Since April 2010 the ACORN team has been down to two therapeutic social workers, one of whom is seconded to another project and three days of a play therapist. This is two full time equivalent workers short of the agreed complement. To operate a full service two full time Social Workers with extensive therapeutic experience or two qualified social workers who could specialise in therapeutic work or two Resource Workers who could be developed into Therapeutic Resource Workers would be

needed. In the current job market it is debateable as to whether recruiting to these posts would be possible. In addition, this course of action will need to be accompanied by a major overhaul of the referral systems if this service is to stop getting bottle necked. Although the figures that are available are not extensive they do show that there is not a uniform pattern of length of attendance and that this service is based on the assessment and skills of the therapist who has to make professional decisions based on the child's progress. It is a fact that the work of the therapist is time intensive and dependent on the progress made by the child.

In phase 1 of the business transformation process the Child and Adult Services Management Team agreed that ACORN would move to the Prevention, Safeguarding and Specialist Services. Consequently in late 2009 early 2010 time was spent repositioning the team within the preventative services managed by the Parenting Commissioner. Although this work is not complete its continuation is part of this option. The experience of the past three years is that the ACORN Team needs to be part of a wider service that enables a shared response to the needs of children, young people and their families. This work has been hampered by a move of premises and the illness of a team member. Both of these events have however highlighted the structural weakness of the service as such a small team is totally reliant on a low absence rate and settled accommodation.

In the event that another member of this team leaves, the viability of ACORN as a service is extremely limited unless vacancies can be quickly replaced with appropriately qualified staff and/or the service is integrated into a wider service.

Option	Strengths	Weaknesses	Opportunities	Threats
Maintain the current operation	<p>The service is well known in its current format and links with some referrers are strong.</p> <p>The staff team is highly skilled and effective in their work with children.</p>	<p>The service is not well integrated and suffers as a consequence of a lack of a well defined service pathway that takes into account all therapeutic services.</p>	<p>The service will continue to meet the needs of the children and young people whose referral is accepted.</p> <p>Clearer links with the prevention services will be developed to support the therapeutic service.</p>	<p>Maintaining the status quo is likely to inhibit the further development of integrated processes for children with therapeutic needs. All workers in this field acknowledge that generally referring agencies lack understanding about what "therapy" is and how it works.</p>

6.2 Option 2 – Extend the service to integrate with other emotional welfare projects in Hartlepool

As described above there are a number of organisations providing therapeutic services in Hartlepool in a way that is neither connected nor integrated. This has resulted in a disconnected range of services that have developed separate referral processes and pathways with an unclear response to need and delivery. It is obvious

from discussions with partner organisations that there is a local appetite for developing a more connected model of delivery for children's mental health services. Nationally the key provider of statutory services is CAMHS which has access to the full range of services. It is likely that nationally, regionally and locally CAMHS services will be reviewed in the near future and that delivery will alter in some ways. It is hoped that locally, such a review will take into account the development of other services and pathways to which the Children's Trust Board are committed. A further opportunity for development will present itself during 2010/11 as the local authority will be in receipt of grant funding for targeted mental health in schools (TAMHS).

Local partners MIND who deliver mental health services to adults in Hartlepool have recently developed a children's service. They have been working with parents for some considerable time and have a contract with HBC to provide an outreach service for parents of pre-school children. The Manager of the organisation is keen to be involved in developing a more integrated service and has indicated that they already have some expertise in the current staff team. MIND also contributes to Team Around the Primary School arrangement with a staff member.

The basis of this option would be a secondment of the existing ACORN Team into a service with partners that will provide a clear referral pathway, clinical governance and a more extensive service. This option does not necessarily make savings but it does enable the joining up of resources that will impact on more children.

Option	Strengths	Weaknesses	Opportunities	Threats
Extend the service to integrate with other emotional welfare projects in Hartlepool	<p>Will provide the base for integrated pathways for children who have therapeutic needs.</p> <p>Will widen the range of therapeutic interventions available to children in Hartlepool.</p> <p>Will work against the fear of families to get involved with statutory services.</p>	May dilute the control that the authority has over the referral process.	<p>Will promote the opportunity of a wider integrated therapeutic service</p> <p>Is likely to motivate third sector organisations to seek external funding to develop a partnership service.</p> <p>Provides a clear opportunity for staff to receive therapeutic supervision and clinical guidance.</p>	This option is reliant on partnership agreements and the ability for each partner to respond positively to the current financial context.

6.3 Option 3 – Develop the therapeutic service as part of an integrated resource service.

This option is based on moving the ACORN team into a current or new service that will provide a range of services to children as part of an integrated plan. This will ensure that the therapist has a range of opportunities to support families and colleagues working with them. This option places ACORN within the Specialist Services Resource Team or the Team around the Primary School and opens up the service to work across the range of needs identified by colleagues across these services. In essence this option is likely to result in a very specific pathway through referral by workers in either of these services ensuring that children with a protection plan, or children in need with a plan are the beneficiaries of the service. In essence this will focus the service at tier 3 and will not easily support the prevention agenda at tier 2. Perhaps more importantly there is a danger that the team may lose its therapeutic role as other pressures impinge on their processes. This impact can of course be lessened by managers who value the therapeutic service and protect its integrity. Again this option can be the foundation to develop the team and replace the current vacancies or maintain the workers in post but invest the vacancies in other ways. The key factor here is the determination of the authority to maintain a commitment to therapeutic support for children.

Option	Strengths	Weaknesses	Opportunities	Threats
Develop the therapeutic service as part of an integrated resource service	<p>Integrates the therapeutic team into a service that is configured to provide for children in need and children on a protection plan.</p> <p>Links to ensure that ACORN Service have opportunities to provide service to our most vulnerable children.</p> <p>Gives a clear line management structure through the Safeguarding and targeted services division.</p>	<p>Due to level of statutory work taken by the Resource Team Therapeutic interventions may cease to be a priority with supporting placements and responses to court judgements taking precedence.</p> <p>A therapeutic service does not work well for young people in crisis and undue pressure may be felt by the team to respond despite the context for therapy being unhelpful.</p> <p>This could duplicate the statutory work of CAMHs in supporting looked after placements</p>	<p>This enables the therapeutic service to be focussed at children who are on a protection plan or looked after.</p> <p>This would enable some effective partnership work to develop the skills of other workers in the resource team.</p>	<p>It is likely that involvement in this service will impact on that provided to schools and will result in schools not being able to access the service.</p>

6.4 Option 4 – Commission an external organisation to provide a service

A small number of organisations in the region have a history of delivering therapeutic services to children. These services are generally provided as a response to court orders or extreme difficulties in behaviour management as a consequence of abuse or extreme trauma leading to the need for a Tier 3 service. These services are generally purchased on the basis of an individual need that cannot be met in the authority and are consequently expensive. The availability and relevant skills to take on this work have not been found in the background work for this paper. This does not however mean that if a tender document were developed potential providers including some that are locally based, would not be forthcoming.

Option	Strengths	Weaknesses	Opportunities	Threats
Commission an external organisation to provide a service	We will be able to commission a service tailored to current needs and responsive to change.	In view of the specialist nature of the service required this is likely to be expensive and will not realise the reach available through option 2 and 3.	We could add this funding and commissioned project to the current delivery processes of TAPs and TAS. Developing the model currently in place.	The therapeutic service may become diluted operationally and will be unable to meet the need at tier 2 and 3. We will be tied to an external provider with little opportunity to influence responses to individual cases.

6.5 Option 5 – Close the service

The therapeutic service is currently understaffed and in need of redevelopment and repositioning as part of an integrated service. In the current financial and service context it is unlikely that the local authority would secure the employment of experienced therapeutic social workers. The three staff currently available to the service are highly skilled professionals who have a great deal to offer to traumatised children. These staff have good qualifications and experience of their core business. The options above identify opportunities to maintain this service in order that those children who have therapeutic needs that require an intervention at tier 2 and 3 have a choice in who provides the service. This is an important factor in this process as CAMHS provide an extensive statutory service that provides input across tiers 1 and 2 but primarily has a focus at tier 3 and 4. Consequently this option will weaken services at 1 and 2 but will cut down on duplication in tier 3 that will become solely the role of CAMHS. The closing of this service will have a detrimental impact on preventing children developing serious mental health problems. There will also be a negative impact in the work to support and reassure families who are dealing with trauma. The ACORN team have been successful in diverting families away from statutory services. It has to be stated however that due to factors generally outside the control of the service, the team has not provided the comprehensive service expected in the past three years. The saving achieved in closing this service will

depend on how the staffing issues are dealt with as there will be implications if posts are ended. More importantly however would be the loss of skills to the department which in the current climate are probably irreplaceable.

Option	Strengths	Weaknesses	Opportunities	Threats
Close the service	This will save some of the budget for the department.	We will no longer have the capacity to meet the needs of a number of vulnerable children who require tier 2 therapeutic services.	The funding that is realised could be channelled into preventative services and impact on more children and families.	Due to additional pressures we will not be able to support children and young people with therapeutic needs and some of these children will consequently require specialist services that are more expensive and can be damaging to individuals and families.

7. Conclusion and Recommendations

This report makes the case that there are children and families who will continue to require a therapeutic service if they are to develop the resilience required to recover from individual trauma. It is also clear that the current process is not having the reach that a fully integrated service would provide. This leads to a recommendation based on developing the service that is currently in place and ensuring that the ACORN Service becomes part of a much wider and more effective pathway to emotional well being. Options 2 and 3 above will both provide a framework that enables the realigning of the ACORN service and will provide a small saving or a more cost effective and enhanced service.

In view of the uncertain future funding arrangements for preventative services, it is proposed that the vacant post(s) in the team is maintained at present. It is anticipated that in the future, the service will run on its current staffing complement, i.e. one therapeutic social worker and one play therapist. Therefore it is essential that these two highly skilled professionals become part of a larger service. Any funding realised from the vacant post(s) would be committed to the future sustainability of preventative services (please cross refer to SDO in relation to Preventative Services) or offered as savings as part of this SDO Review.

Option 2 draws on the benefits of our strong partnerships with the third sector and provides a partnership opportunity that builds the therapeutic services into a viable and accessible process that gives a real service delivery option that is built on Hartlepool's greatest strengths. A partnership set up in this way sends out strong messages to partners and families that the Children's Trust and the local authority

are looking at business transformation in a way that is inclusive and imaginative rather than focussing on statutory services pulling back from long term partnerships and commitments. The acceptance of this option would require some detailed negotiation with our local partners but past experience of the Team around the Primary School suggests that such negotiations would be fruitful and would result in the clear integrated pathway that is required to support these young people. Consequently Option 2 is the preferred recommendation of this Service Delivery Report with Option 3 being the best alternative if this partnership approach cannot be achieved.

Service Delivery Review Options Analysis Report**Role and function of the social work teams within the Safeguarding, Assessment and Support Business Unit, and Duty Team.****1. Purpose of the report.**

The purpose of this report is to review the services provided by the Safeguarding, Assessment and Support Business Unit and the Duty Team; to outline issues regarding the effectiveness and efficiency of the services and to explore whether or not there are alternatives options to deliver a more effective and efficient service either in-house or externally. The report will also summarise the recent review and restructure of the social work assessment teams and give some preliminary feedback as to the effectiveness of the restructured service.

2. Background.**2.1 The Safeguarding, Assessment and Support Business Unit consists of the following:**

- Initial Response Team
- Two under 11 Safeguarding, Assessment and Support Teams
- One over 11 Safeguarding, Assessment and Support Team
- Children's Disability Team

The structure of the Safeguarding, Assessment and Support Business Unit is attached as **Appendix A**.

The Duty Team, although not part of the Safeguarding, Assessment and Support Business Unit will also be considered as part of this report. Up until recently this team has been managed by Adult Services, however, as from mid February, 2010 the team are under the line management of the Safeguarding and Review management structure.

The total budget associated with these fieldwork teams is £2,610,629. An additional £68,727 is allocated to the Safeguarding, Assessment and Support team to provide funding for families in need under section 17 of the Children Act 1989.

2.2 The services provided by the above teams are without exception mandatory and duties and responsibility are contained with relevant statute, guidance and regulations. Part III of the Children Act 1989 is the basis in law for the provision of local services to children in need. This states:

It shall be the general duty of every local authority –

- *To safeguard and promote the welfare of children within their area who are in need; and*
- *So far as is consistent with that duty, to promote the upbringing of such children by their families, by providing a range and level of services appropriate to those children's needs.*

The local authority has a statutory duty to respond to children in need in their area in the following ways:

- To provide services to children in need (s.17)

- To provide such day care for children in need as appropriate (s.18)
- To provide accommodation and maintenance to any child in need (s.20)
- To advise, assist and befriend a child whilst he is being looked after and when he ceases to be looked after by the authority. (s.24)
- To provide services to minimise the effects of disabilities (Schedule 2, part 1, sub section 6)
- To take steps to prevent neglect or ill-treatment (Schedule 2, part 1, sub section 4)
- To take steps to encourage children not to commit criminal offences. (Schedule 2, part 1, subsection 7)
- To provide family centres. (Schedule 2, part 1, sub section 9)

2.3 Children who are defined as in need under the Children Act 1989 are those whose vulnerability is such that they are unlikely to reach or maintain a satisfactory level of health and development, or their health and development will be significantly impaired without the provision of services. The critical factors to be taken into account in deciding whether a child is in need under the Children Act 1989 are what will happen to a child's health and development without services, and the likely effect the services will have on the child's standard of health and development. The criteria for defining who is in need are spelt out in Section 17 (10) of the Children Act 1989. The criteria include a child who is disabled.

2.4 Some children are in need because they are suffering or likely to suffer significant harm. Concerns about maltreatment may be the reason for referral of a family to social care services or concerns may arise during the course of providing services to a family. In such circumstances, the local authority has a statutory responsibility to consider initiating enquiries to find out what is happening to a child and whether action should be taken to protect a child. This obligation is set out in Part V s.47 of the Children Act 1989.

2.5. It is within this legislative context that the Safeguarding, Assessment and Support Business Unit and the Duty Team have been set up.

3. Review process regarding restructuring of the Safeguarding and Targeted Services division and the Duty Team.

3.1 A report was presented to CSMT on the 26th February, 2009 outlining proposals for restructuring the Safeguarding and Specialist Services division of Children's Services with particular emphasis on what was then the Family Support and Young Persons Business Units. The need to make substantial changes at that time came about because of a range of developments arising from the Every Child Matters agenda and other relevant initiatives. These included Children's Centres and extended schools; Care Matters; the Public Law Outline; and the implementation of the preventative strategy to develop targeted and universal services. The development of the Common Assessment Framework; Aiming High for Disabled Children; the Integrated Children's System, (ICS); and Flexible Mobile Working also led to reconsideration on how front line children's social care services were to be delivered. It was felt that a revised structure was required that would be fit for purpose to meet the changing demands of service delivery, while at the same time providing flexibility to adjust to changing demand in the future. (Full report is available)

3.2 As a consequence a revised model was developed by the senior management team within Safeguarding and Specialist Services. An essential feature of the new structure was the separation of assessment and longer term intervention from resources and

specialist services. The Family Support Business Unit consequently became the Safeguarding, Assessment and Support Business Unit and from the 1st September, 2009 has consisted of:

- A dedicated team dealing exclusively with initial assessments and child protection enquiries;
- Two teams dealing with medium and longer term intervention with under 11's.;
- One team dealing with medium and longer term intervention with over 11's.

It was agreed the Children's Disability Team would remain in the Safeguarding, Assessment and Support Business Unit in the short to medium term on the basis that there may be longer term implications of adult and children's disability services managed under the same directorate.

3.3 The Duty Team and Safeguarding, Assessment and Support Teams have recently been inspected on two occasions as part of an inspection framework delivered by Ofsted. In the unannounced inspection of safeguarding, one of the conclusions of the inspectors was that there needed to be an additional social worker in both the duty and disabilities team to ensure sufficient capacity is in place to meet the demands of the work. These posts were created and built into the establishment from 1 April 2010.

4. Effectiveness of current service delivery and demand for services.

4.1 Child and Adult Services Duty Team.

The Duty Team is based in the Civic Centre and offers a single point of access in relation to both children and adult services, for members of the public and other agencies. For the purpose of this report and to exemplify the work of the team consideration will be given to the service the Duty Team provides to the children's social care teams. The team screens all enquiries and requests for a service and makes decisions on what needs to pass onto the Initial Response Team for assessments or directly on to one of other teams, for example, the Disability or Placement Team. Once a referral has been received, the duty social worker has up to 24 hours to evaluate the referral, gather any relevant further information and decide what action needs to be taken using the criteria set out in the department's children's services "Access to Services" guidelines. The Duty Team's responsibilities regarding children and families is set out in **Appendix B** and the number of enquiries and referrals they receive is set out in **Appendix C**.

The Duty Team play a vital role in screening contacts and referrals to ensure that requests for services are appropriate as well as to avoid "swamping" the social work teams. One of their main functions is gathering information from partner agencies such as the police vulnerability unit; schools, health professionals and others in order to have enough information to ensure the right decisions are made regarding actions to be taken. The social care staff within the team also gather information from members of the public again to assist in decision making.

It is essential that there are qualified social workers in the Duty Team in order to ensure that effective safeguarding arrangements are in place. Lord Laming in his report "The Protection of Children in England: A Progress Report" (March, 2009) recommended that the DCSF set out clear expectations that "at all points where concerns about a child's safety are received, ensuring intake/duty teams have sufficient training and expertise to

take referrals and that staff have immediate, on-site support available from an experienced social worker” (Recommendation 11.) The recent unannounced inspection of the referral and assessment services in children’s social care in Hartlepool highlighted the need for additional capacity of an qualified experienced social worker within the Duty Team in order to strengthen the team’s effectiveness regarding the processing of referrals regarding the safeguarding of children.

Staffing within the Duty Team consists of:

- A full time Team Manager
- A full time Principal Practitioner
- 2 social workers – 37 hours per week.
- 1 social worker 18.5. hours per week.
- 5 social care officers – 37 hours
- 1 social care officer – 30 hours
- 2 team clerks.

4.2 Initial Response Team.

The role of the Initial Response Team is to carry out Initial Assessments and child protection enquiries. Initial Assessments are undertaken in respect of all referrals where a child meets the criteria of being a child in need as defined in the Children Act 1989; this includes children who are in need of protection. The assessments have to be concluded within 7 days from the actual date of contact with the department to ensure that any risks to the child are identified as quickly as possible and services provided without delay.

The Initial Response Team has dealt 226 referrals in six months since it became operational in October, 2009, (this involved 390 children and young people). 53 children and young people went onto be considered under Child Protection Procedures as it was thought there was a likelihood they were at risk of “significant” harm. 31 of these children were subsequently considered at an Initial Child Protection Conference.

The cases of 112 children and young people were passed onto the medium to long term teams as they were assessed as requiring an ongoing service from social workers. The Initial Response Teams pass on child in need cases within 10 days of receipt of the referral; children who are considered to be at risk of significant harm and may require a protection plan are passed to the long term teams following a multi-agency Child Protection Initial Case Conference which has to take place within 15 days of the Strategy Meeting. Children and young people who are looked after are usually transferred at the point of the first looked after review which is 28 days after they become looked after by the Local Authority.

The number of Initial Assessments concluded within 7 days is a performance indicator reported annually through statutory returns to the DCSF. The performance to date for the year 2009-2010 is 71% of initial assessments are completed within 7 days which compares favourably with performance in previous years and demonstrates an improving pattern.

Staffing within the Initial Response Team is:

- A full-time Team Manager
- A full-time Principal Practitioner

- A full-time Principal Practitioner – parental substance misuse. This role was created to develop and improve assessment skills in assessing the needs of children who are living with parents who have serious issues regarding drugs and/or alcohol.
- 6 social workers (Bands 10 – 12)

4.3 Safeguarding, Assessment and Support (SAS) Teams.

There are three Safeguarding, Assessment and Support teams, two of which deal with children aged 0 -11 and one with children and young people aged 11 -16. All three teams are based in Bevan House and cover the whole of Hartlepool. The teams provide medium to long term support to children and young people assessed as being in need, including in those need of protection and their families.

The Workload of Safeguarding, Assessment and Support Teams as at 31st March, 2010 is detailed in the table below; the breakdown of children receiving a service on the 30th September, 2009, where available, is also included for comparison purposes. This data shows that there is an increase in the numbers of children who are subject to more formal interventions, i.e. subject to protection plans or being looked after and fewer children are being supported as children in need.

	30.9.09	31.03.10
Children in Need	577	537
Children subject to a protection plan	110	136
Number of looked after children and young people.	160	174
Average caseload per social worker	-	22.3
No. of children subject to legal proceedings.	-	46

SAS Teams 1 and 2 predominantly deal with younger children at risk who require a protection plan and those younger children who are unable to live at home with their families usually because of child protection issues. The latter group of children are often subject to Care Proceedings where a legal order has been required in order to ensure that the children are protected either by living with extended family members or with Local Authority foster carers, pending the social worker undertaking more in depth assessments to determine where the child should live in the future. The options for looked after children are to return home to their parents; to continue to live with relatives or foster carers; or to be placed with permanent substitute families either through adoption or long term fostering. Currently there are 23 cases in care proceedings, involving 46 children. (see **Appendix D** regarding children subject to care proceedings between 2005 – 2009).

A significant issue within the two under 11's teams is the increase in the number of complex cases social workers are having to deal with. This is demonstrated in the increase in the number of children subject to protection plans and the rising number of children involved in care proceedings. An implication of this is that cases have to be kept open longer which is putting additional strain on the overall capacity to deal with the demands on the service. Caseloads are monitored carefully to avoid social workers becoming 'overloaded' particularly regarding complex work, however, this is a continual challenge because of the increasing demand for services and the national shortage of qualified, experienced social workers.

The social workers in SAS team 3 work with children and young people in the 11 – 16 year old age group. Although this team has a small number of children/young people subject to protection plans and legal proceedings, the main emphasis is on supporting parents/carers in behaviour management issues regarding young people and providing services to prevent them from having to be looked after by the local authority. Some of the young people this team are involved with are also in touch with the Youth Offending Services or Child and Adolescent Mental Health Services and they have a range of difficulties that require agencies working very closely together in order to ensure that young people do not harm themselves or others. The Team Manager of the Safeguarding, Assessment and Support Team for over 11's also manages a specialist social worker who is based in the Child and Adolescent Mental Health Service.

All of the SAS teams work with children and young people to ensure that they achieve the five outcomes in that they are healthy, safe, enjoy and achieve, that they make a positive contribution to their communities and they achieve economic well-being.

Staffing within each of the SAS Teams 1 and 2 is:

- 1 full-time Team Manager
- 1 full-time Principal Practitioner
- 7 social workers (Bands 10 – 12)

Staffing within SAS Team 3 is:

- A full-time Team Manager
- 1 full-time Principal Practitioner
- 5 social workers (Bands 10-12)
- Professional supervision of social worker seconded to CAMHS.

Appendix E sets out performance data regarding the Safeguarding, Assessment and Support Business Unit. This details the numbers of children subject to protection plans; performance regarding the completion of initial and core assessments within timescales; and the number of children who were subject to child protection enquiries (Section 47 of Children Act 1989).

4.4 Disability Team

The children's Disability Team provides a service for children and young people 0 – 18 years of age who have either a learning or physical disability or they are suffering a life threatening illness. As at 31 March 2010 they were working with 124 children and young people and provide a range of services depending on an assessment of need. Services include:

- General support to obtain necessary adaptations, equipment and benefits.

- Contribution to multi-agency co-ordinated packages of support for children and young people with complex needs;
- Short break care either through foster care; day care or overnight stays at Exmoor Grove or other establishments.
- Assessment in respect of Direct Payments in order that parents/carers can purchase their own short break care or personal assistant support.
- Direct provision of Family Resource Worker support to enable children and young people to access activities in the community.
- Assessment of children and young people with a disability who are thought to be at risk of significant harm.
- Care Planning for disabled children and young people who are looked after by the Local Authority.
- Transition planning for young people transferring to adult services.

The support provided by the Disability Social Workers is vital to maintain children and young people within their families and communities. Without such support many families would not be able to cope with the demands of caring for a child or young person with complex needs and as a consequence they potentially could end up having to be looked after by the local authority.

The staffing structure within the Disability Team is:

- 1 full-time Team Manager
- 1 Principal Practitioner
- 1 full-time Care Co-ordinator
- 4 social workers

An additional Principal Practitioner post has been added as it was highlighted by the recent unannounced inspection that caseloads within this team were too high. In 2009/2010 a survey of parents who had disabled children highlighted that 66% of those parents consulted felt they received good services. This compared with the national benchmark of 60%. (National Indicator 54)

5. Option analysis.

5.1 Stop delivering the services provided by the above teams.

As stated previously this is not an option because of the mandatory nature of the services provided. Without exception all of these services have to be provided by the Local Authority (Children Act 1989) either to prevent the health and development of children being impaired or to prevent and act in respect of those instances where children are considered either to have been harmed or who are at risk of significant harm. This is statutory work which is essential to protect vulnerable children and young people from harm.

5.2 Commission the services from an external provider.

There are no local external providers within the region available to manage these services in Hartlepool. This is a high risk area of social work and for an external agency to take on such risk there would be expectations that any remuneration would be high. It is envisaged that the setting up costs would be high and overall greater costs would be incurred if an external agency has to recruit, retain and train social work staff. Also it is believed that the current consistency of service delivery and commitment to continue to

improve the quality of service delivered may be compromised were such an option be pursued. In the recent inspections of safeguarding services undertaken by Ofsted, the local authority has been judged as 'good' and children in the town feel safe and are safe with the services provided by the local authority. An external provider may not achieve the high standards of service delivery that have been achieved within the local authority.

5.4 Raising thresholds in order to reduce demands on the service.

This is considered to be an extremely unsafe option to consider. Without exception the above social work teams are involved on a day to day basis in the assessment of risk of the most vulnerable children and young people in the community. Raising thresholds should not be considered in a climate where the numbers of children and young people subject to protection plans is rising markedly as well as the children and young people needing to be looked after by the Local Authority. Raising thresholds would undoubtedly result in increasing numbers of children and young people being left in situations where they are at risk of significant harm. This would bring risk of a judicial review being brought against the Local Authority.

5.5. Maintain current staffing structure and level of service delivery.

This is the preferred option. It is not thought possible to reduce staffing because of the rising demands on the service. Even with the current staffing levels there is considerable pressure on the teams to deal with all requests for services. The complexity and level of risk of the cases transferring to the long term teams means that caseloads have to be kept as low as possible in order not to compromise the quality of the work and to avoid individual staff burn out.

Overall it would be considered a high risk strategy to cut staffing in any of the teams discussed in this report. In fact a report setting out the need to increase capacity of front line social work staff was written for the Children's Services CSMT in July 2009. This is included as **Appendix F**. Even with the additional capacity this decision brought, the service remains under significant pressure as noted in the recent announced inspection of safeguarding services:

There has been an increase in the number of child protection referrals which has led to a significant impact on workload pressures. This is being closely monitored by managers and action has been taken to increase the capacity of front line services and to monitor the impact on the overall quality of work produced. Although there are no bottle necks in current service delivery, staff report being stretched at times of peak activity. These pressures are being actively monitored and staff feel confident that senior managers are aware and will take appropriate action to respond. (Ofsted July 2010)

5.6. Financial Implications.

The main element of the budgets of these teams is staffing costs. The reasons for not being able to make savings as regards staffing is outlined in 5.5 of this report. The only other elements of the budget that could potentially be cut are transport expenses for social workers (Essential Car User Allowance and mileage claims); and Children Act funding which again it is a statutory duty of the Local Authority to provide. Section 17 (CA1989) funding is used to support families to prevent children and young people having to come into care and to provide essential items to promote the welfare of children.

Children Act funding is also used to promote contact between children/young people and their parents if they are being looked after by the Local Authority. (Section 35 of CA). The increased demand for services and the rise of the number of children and young people looked after have placed considerable pressure on these budgets, therefore, there is little room to manoeuvre to identify potential savings.

The budget available for the teams with the Safeguarding Assessment and Support Business Unit in respect of Children Act funding amounted to £68,727 for the year 2009/10. This budget was overspent due, in particular, to an asylum seeking family being unable to claim benefits and children's social care having to provide the equivalent of benefits in order to support the child. The budget was also over spent because of the need to improve housing conditions in order the children could be reunited with their families after a period of being looked after.

6. Conclusion.

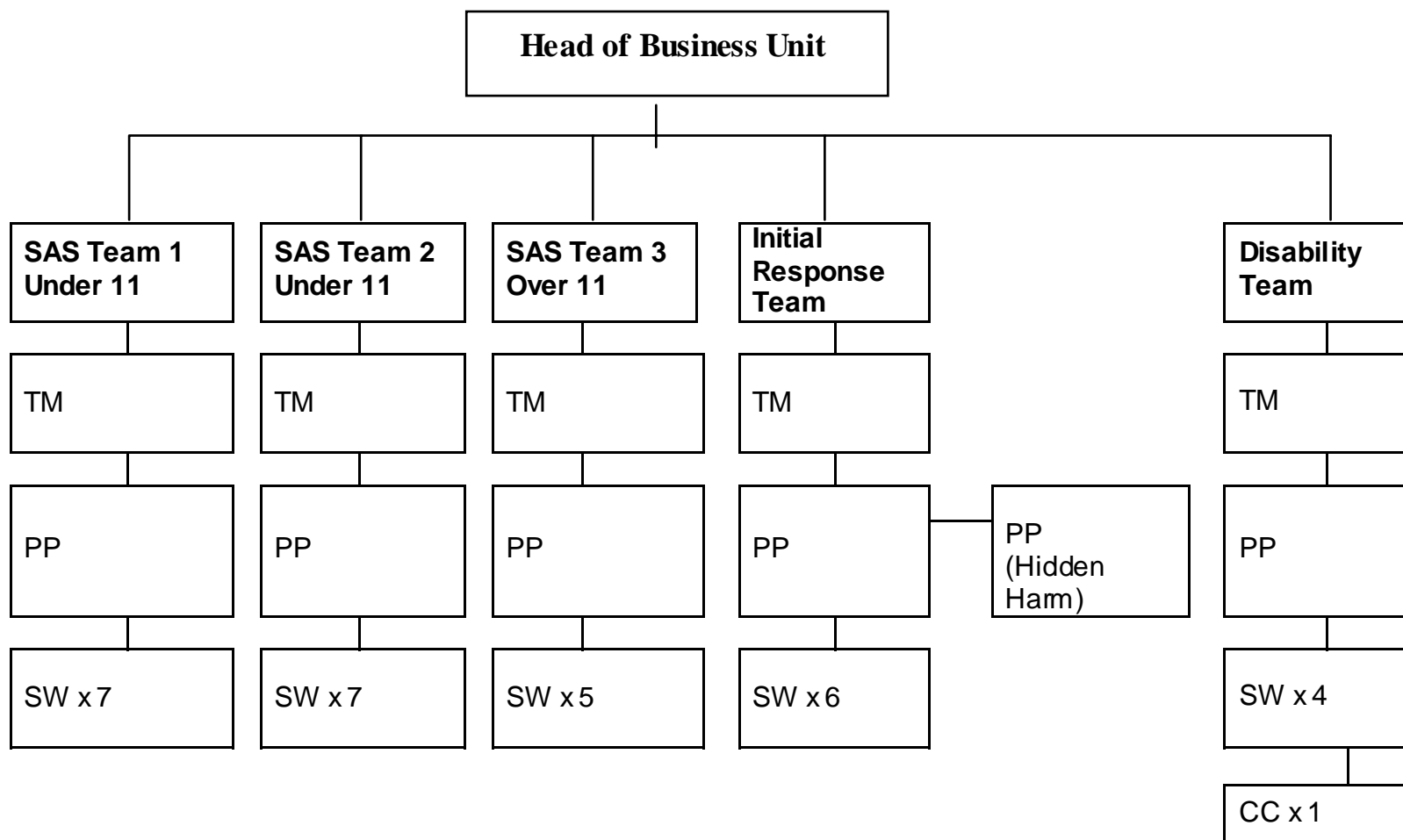
- 6.1** The services the Safeguarding, Assessment and Support Business Unit and Duty Team deliver are statutory services which the Local Authority has a duty to provide. Because of the complexity of these cases and in some instances a high level of risk it is difficult to see where any savings can be made. Staffing levels have to be maintained in order to ensure the quality of the work and overall to ensure that as far as we possibly can children and young people are not left in situations where they are at risk of significant harm.

The Safeguarding Assessment and Support budget was calculated at budget build to be £2,679,356, if Option 5.5 is accepted then the overall budget remain the same representing a percentage saving of 0% against the total budget.

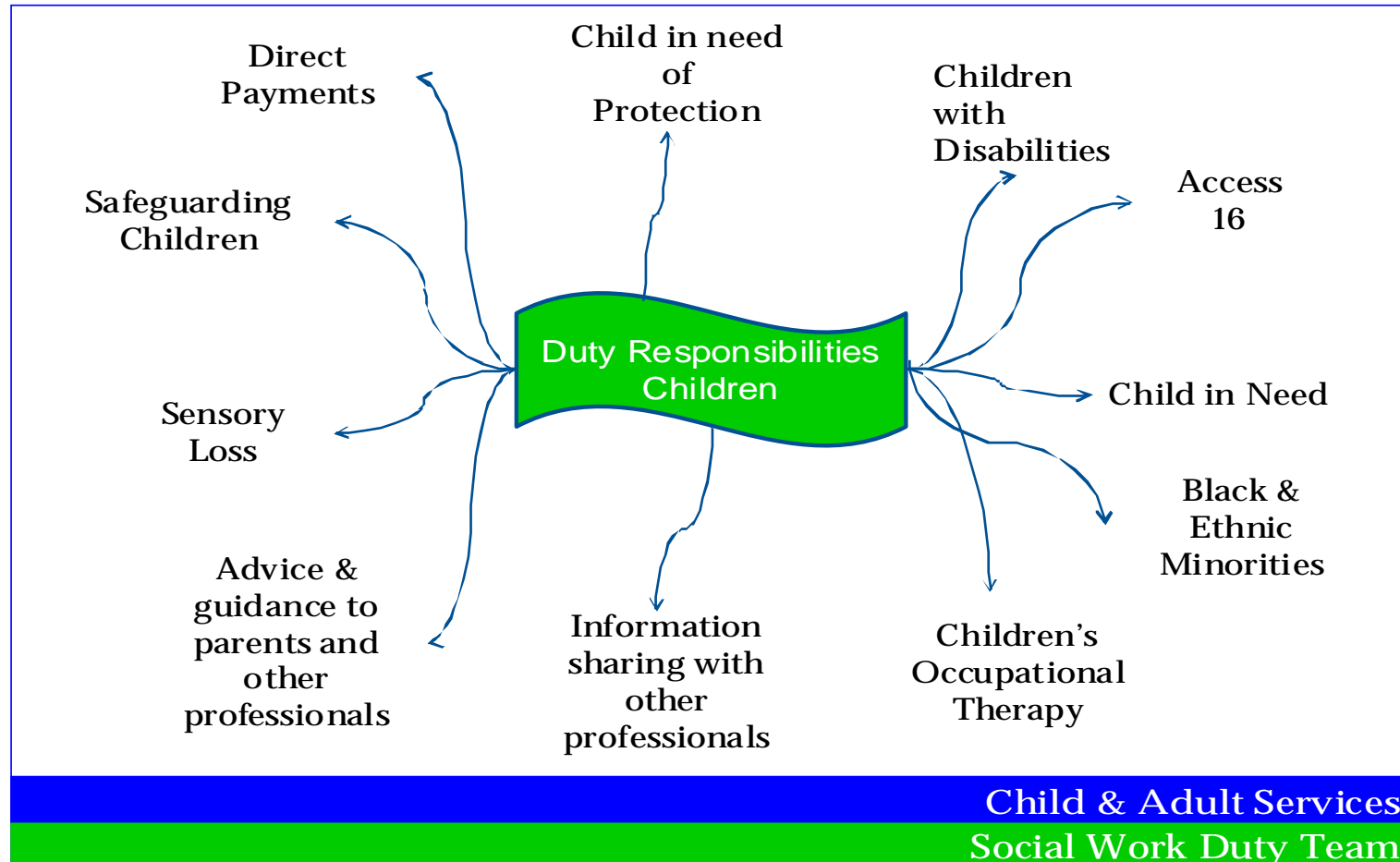
Sheila O'Connor

Head of Business Unit – Safeguarding, Assessment and Support

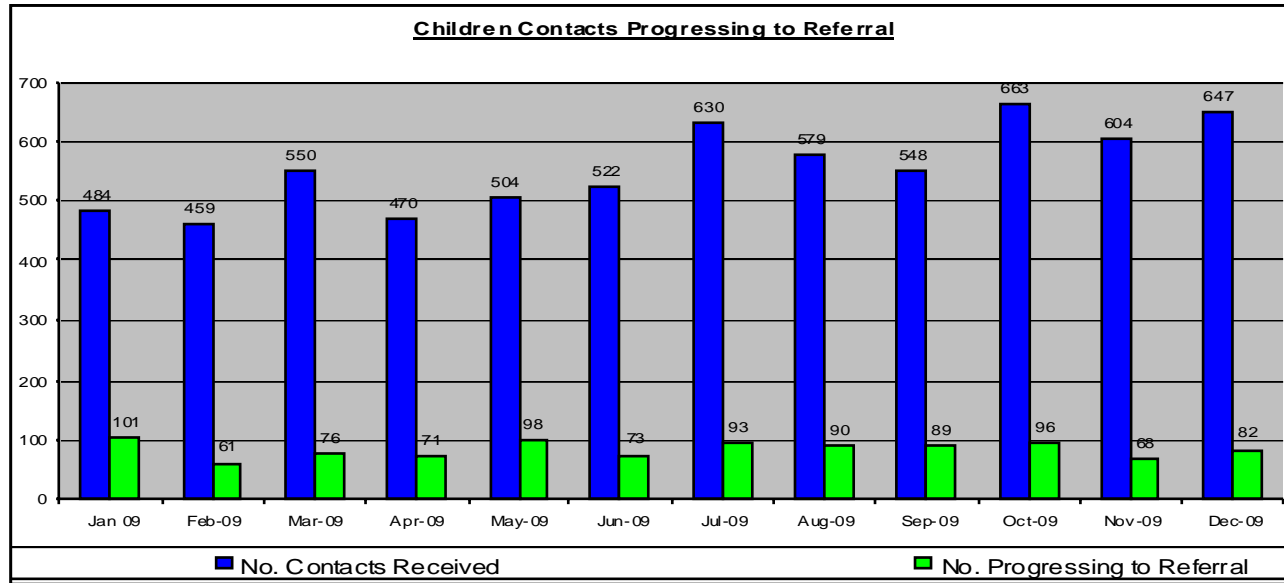
12th May, 2010.

APPENDIX A: Structure of Safeguarding, Assessment and Support Business Unit.

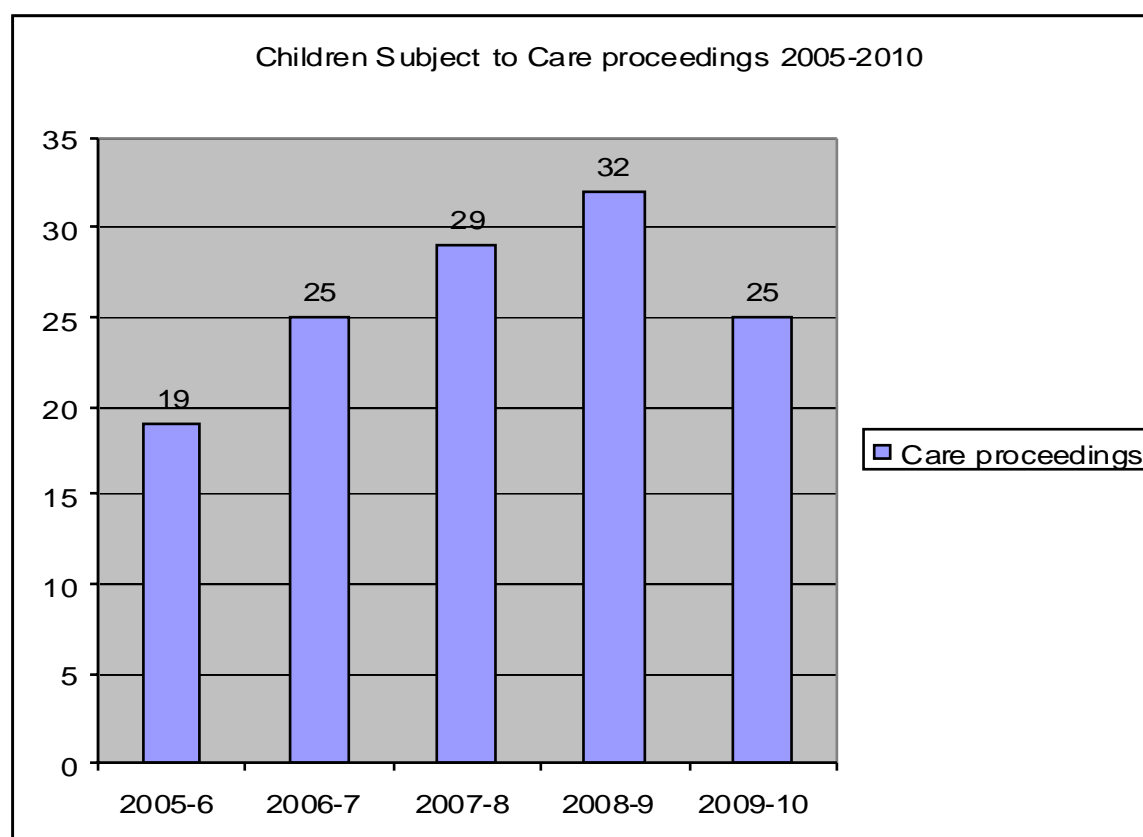
Appendix B: Duty Responsibilities - children



Appendix C: Children contacts progressing to referral



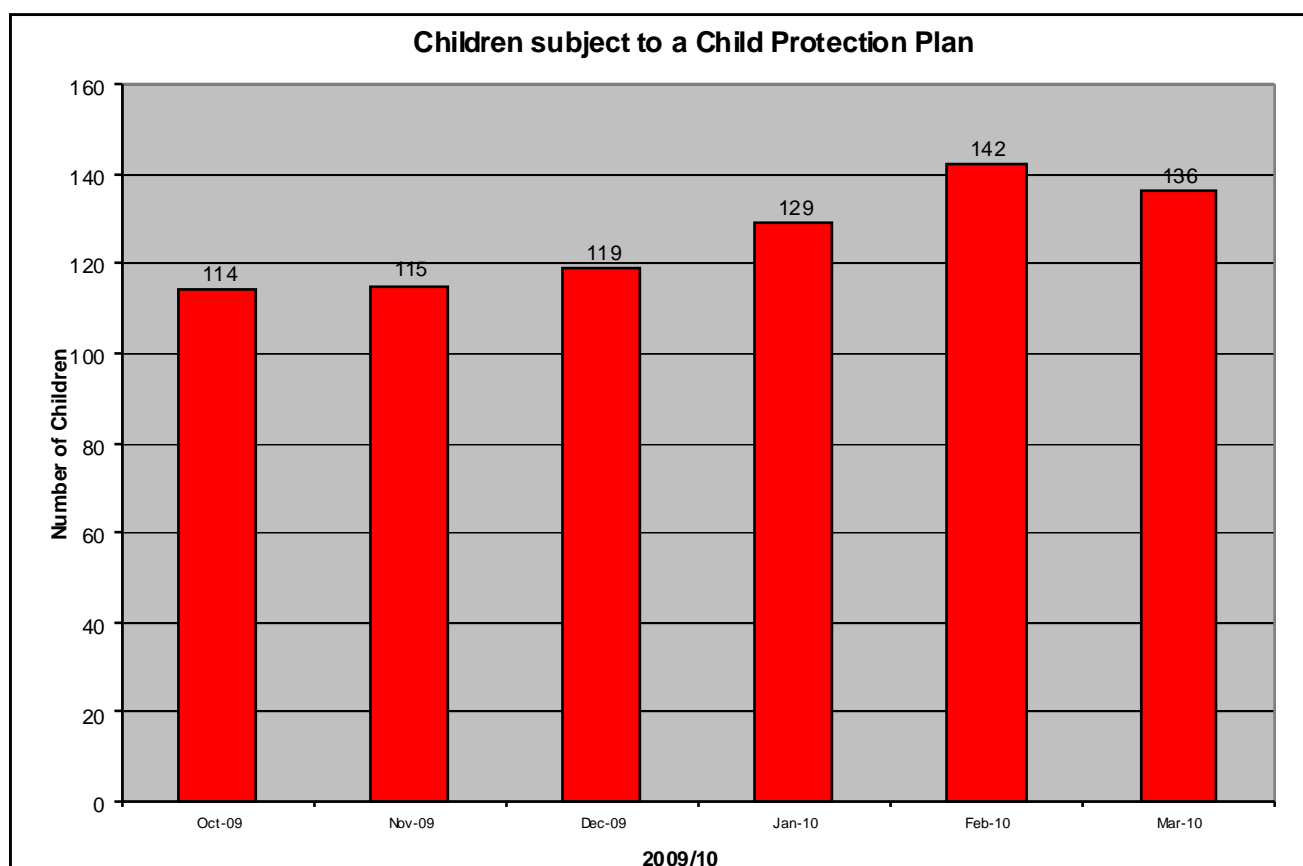
Child & Adult Services
Social Work Duty Team

Appendix D:**Record of Care Proceedings 2005-2010**

Team	Current Cases	Pending
Safeguarding and Assessment Team 1	11 cases currently in proceedings	2 Pending
Safeguarding and Assessment Team 2	12 cases currently in proceedings	3 Pending
Safeguarding and Assessment Team 3	1 case in proceedings	
Settled Care Team	2 cases currently in proceedings	

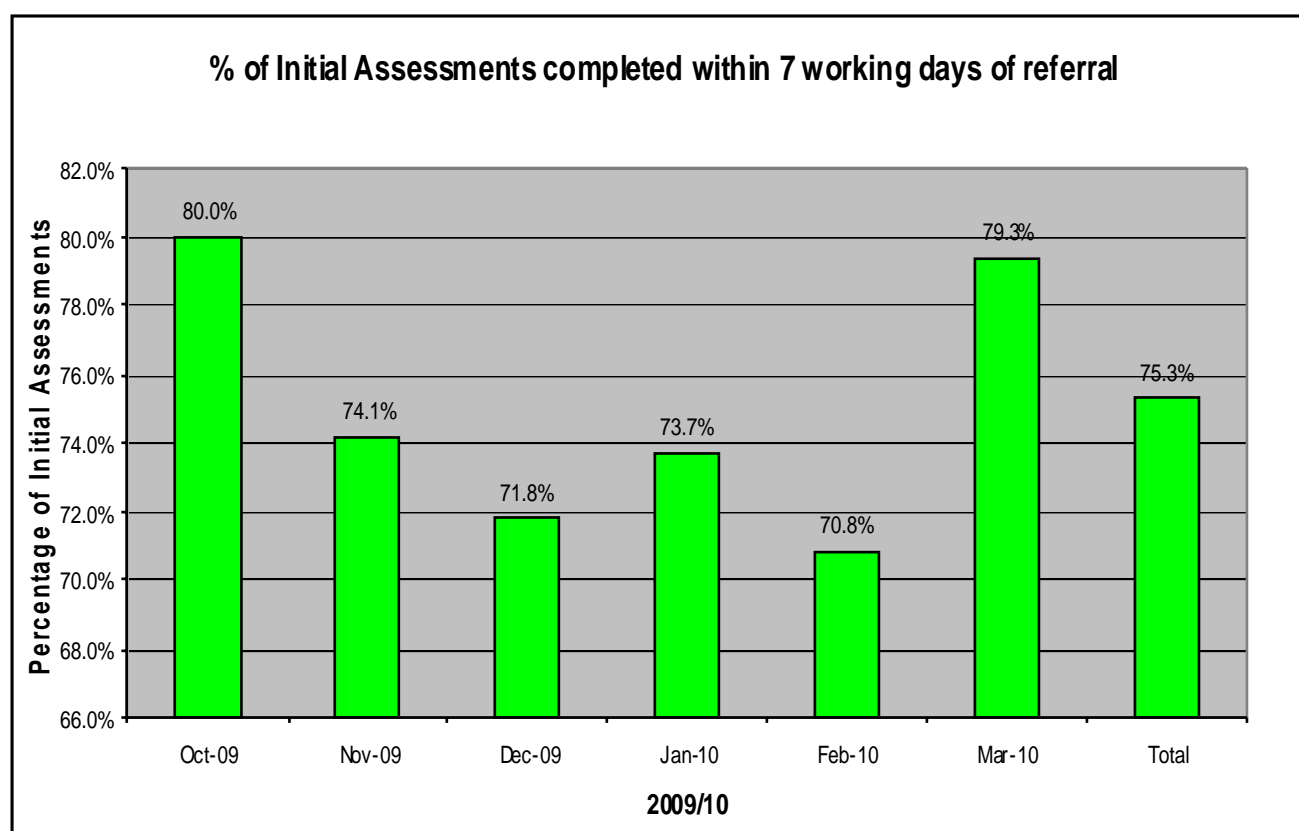
**Appendix E: Performance Data for SAS Business Unit
Children subject to a CPP - Age Band Breakdown**

Age Band	Oct 2009	Nov 2009	Dec 2009	Jan 2010	Feb 2010	Mar 2010
Unborn	0	1	2	0	3	1
Under 1	17	16	14	15	16	17
1 to 4	42	39	38	40	45	41
5 to 9	40	40	42	48	51	49
10 to 15	15	19	23	24	26	27
16+	0	0	0	2	1	1
Total	114	115	119	129	142	136

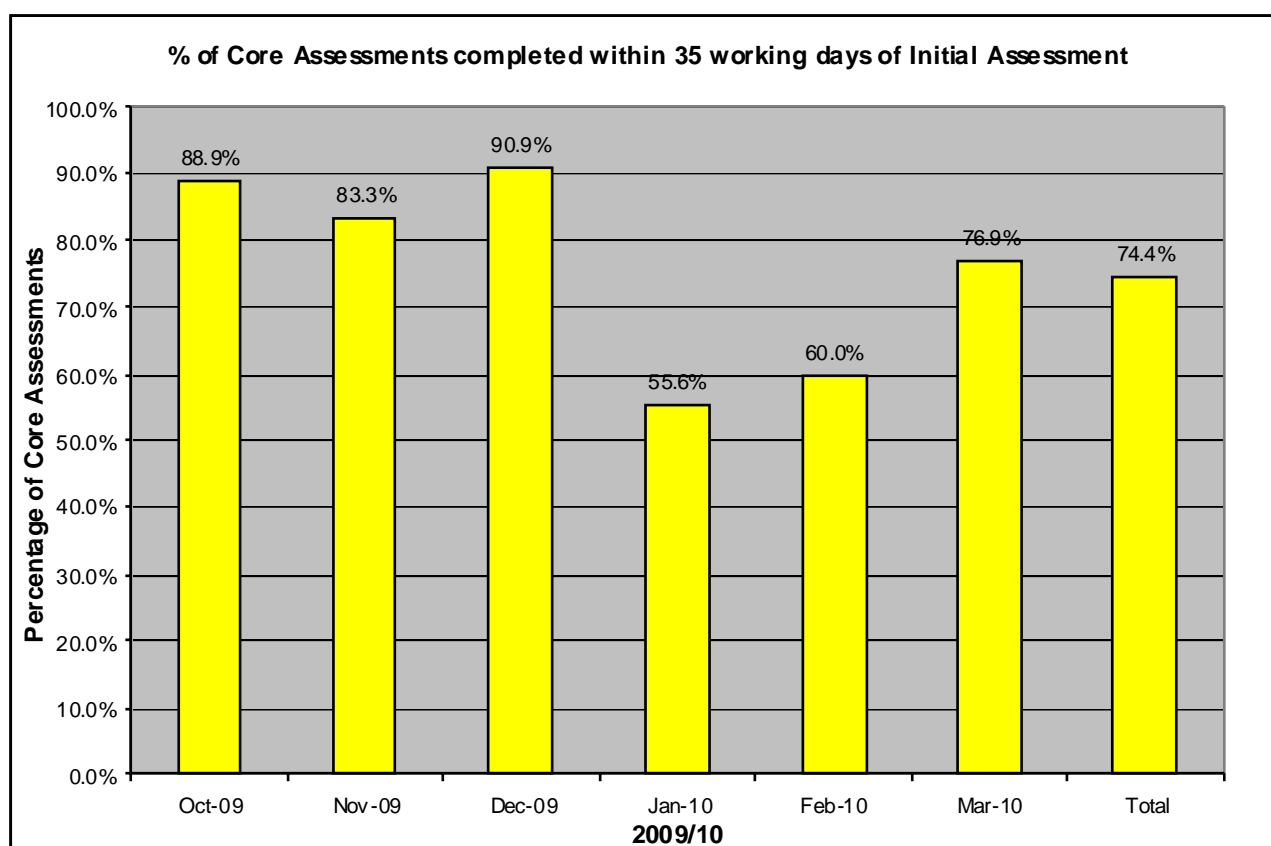


Initial Assessments (completed)

	Oct-09	Nov-09	Dec-09	Jan-10	Feb-10	Mar-10	Total
Number of children receiving Initial Assessments	85	58	39	76	72	58	388
Initial Assessments completed in 7 working days of referral	68	43	28	56	51	46	292
Initial Assessments not completed in 7 working days of referral	17	15	11	20	21	12	96
% completed within 7 working days of referral	80.0%	74.1%	71.8%	73.7%	70.8%	79.3%	75.3%

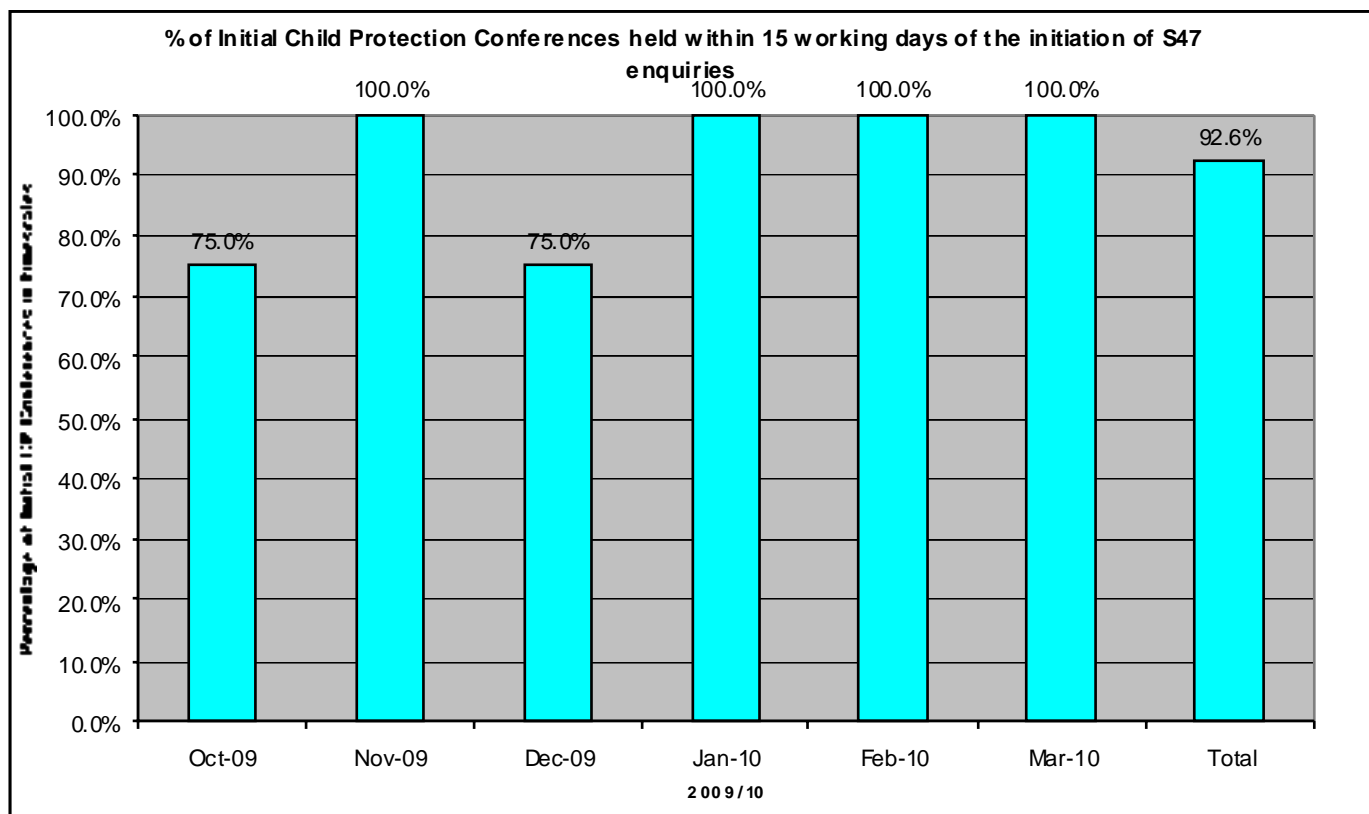
**Core Assessments (completed)**

	Oct-09	Nov-09	Dec-09	Jan-10	Feb-10	Mar-10	Total
Number of children receiving Core Assessments	9	24	11	18	15	13	90
Core Assessments Completed within 35 working days of Initial Assessment	8	20	10	10	9	10	67
Core Assessments Completed not within 35 working days of Initial Assessment	1	4	1	8	6	3	23
% completed within 35 working days of Initial Assessment	88.9%	83.3%	90.9%	55.6%	60.0%	76.9%	74.4%



Section 47 Enquiries

	Oct-09	Nov -09	Dec-09	Jan -10	Feb -10	Mar -10	Total
Number of children who were the subject of S47 enquiries	21	16	11	32	8	14	102
Number of children who were the subject of initial child protection conferences	12	11	8	14	20	3	68
Number of children whose initial child protection conference was held within 15 working days of the initiation of S47 enquiries	9	11	6	14	20	3	63
% held within 15 working days of the initiation of S47 enquiries	75.0%	100.0%	75.0%	100.0%	100.0%	100.0%	92.6%



Appendix F:

BUSINESS CASE TO INCREASE SOCIAL WORK CAPACITY

1. Purpose of the report

- 1.1 The purpose of this report is to outline a business case to increase the capacity of social workers in the newly developed Safeguarding, Assessment and Support Business Unit by three social workers. This unit will have responsibility for dealing with all referrals to Safeguarding and Specialist Services undertaking initial assessments and child protection enquiries. The Unit is also responsible for delivering medium to long term intervention for children in need, including those in need of protection. Many of these cases require complex risk assessments; care proceedings and permanency planning for those children unable to live with their families.
- 1.2 The capacity of social workers dealing with these complex areas of work has not been increased for some years. However, there have been significant developments in children's social care that have had an impact on social work practice including a rise in the number of complex cases on social worker's caseloads; the introduction of the Integrated Children's System (ICS); an increase in the numbers of children subject to a protection plan and looked after children; the implementation of the Public Law Outline and the increased number of care proceedings commenced by the authority. Alongside this are the recommendations of Lord Laming's report "The Protection of Children in England: A Progress Report" and the subsequent government response which raises issues around caseloads; the need for better quality assessments; the recruitment and retention of social workers; training; and more robust inspection processes both internal and external.
- 1.3 The report will discuss these issues in more depth; identify risks if we do not increase capacity; and make recommendations to CSMT regarding a way forward.

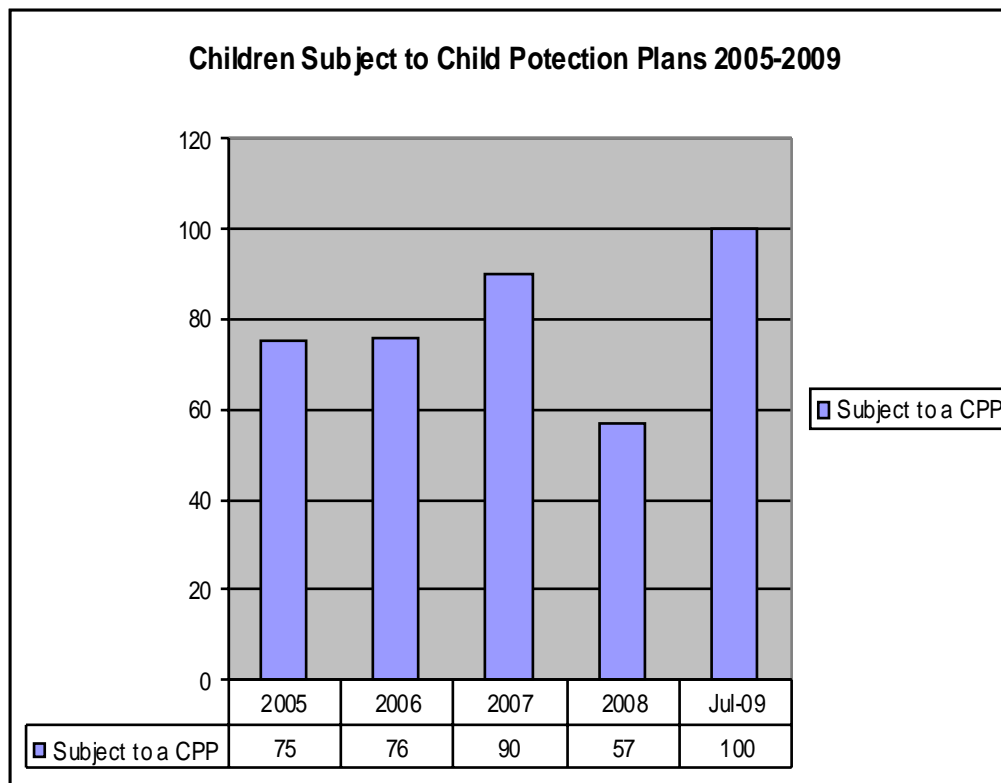
2. Reasons and evidence to support the case for an increase in social work establishment.

2.1 Increase in complex cases

- 2.1.1 Over the years social workers caseloads have become more complex consisting largely of children subject to protection plans, children subject to care proceedings, and complex child in need cases. The latter category are those cases where

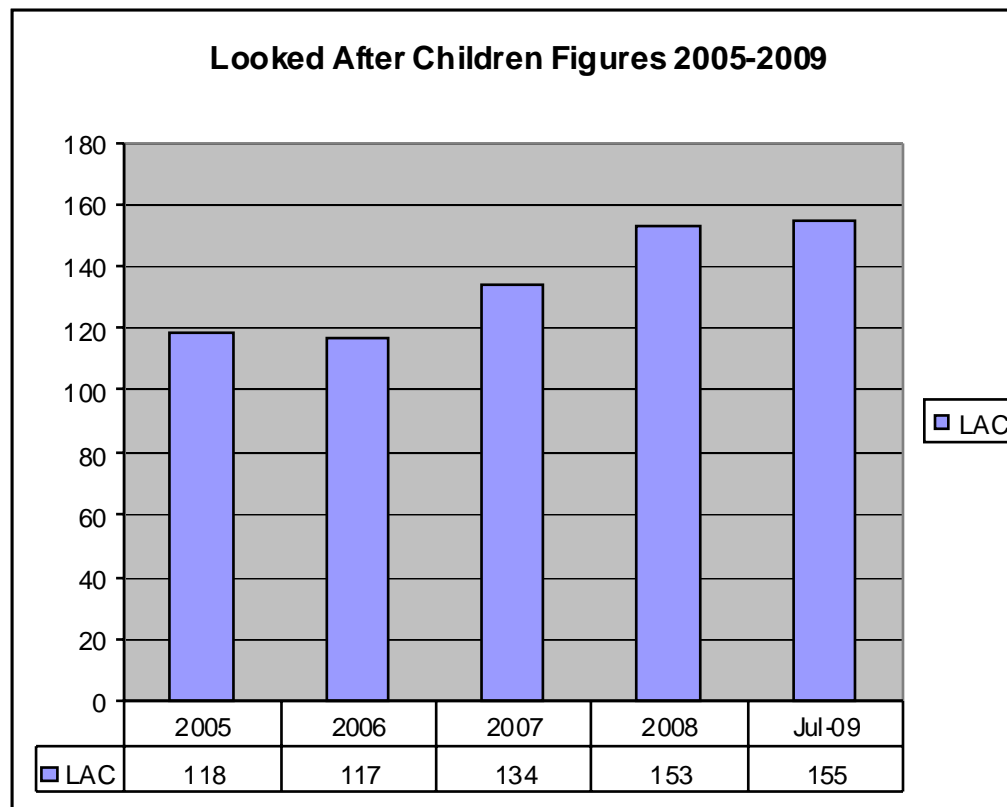
children and young people are causing considerable cause for concern and the workers are working with the family to reduce risk to avoid the need for a child protection plan. This is a contrast to the past when social workers had some lower level child in need cases to deal with and played a more significant role in prevention. They consequently held a greater variety of complexity of cases and thus were able to cope with a higher caseload.

- 2.1.2 Another factor is that the number of experienced social workers has decreased and this was outlined in a previous report to CSMT in April, 2009. This has resulted in a smaller number of workers having to deal with highly complex cases.
 - 2.1.3 A large causal factor in the increase in complex cases is the affects of parental substance misuse particularly on younger children. This has resulted in the rise of chronic neglect of children necessitating in many families the need for children to be subject to a protection plan and in more extreme circumstances the removal of children from their parents through care proceedings. The Hidden Harm Strategy (2008) outlines that 50% of children subject to protection plans and 50% of children involved in care proceedings were due to parental substance misuse issues both drugs and alcohol. Other social issues impacting on the complexity of cases is domestic abuse; and the mental health or learning disabilities of parents. It is noteworthy that in recent studies of serious case reviews, parental substance misuse, domestic abuse and parental mental health issues were regarded as high risk indicators for children which often co-existed.
- 2.2 Increase in the numbers of children subject to protection plans; looked after children and those in care proceedings.
- 2.2.1 Table demonstrating increase in children subject to protection plans



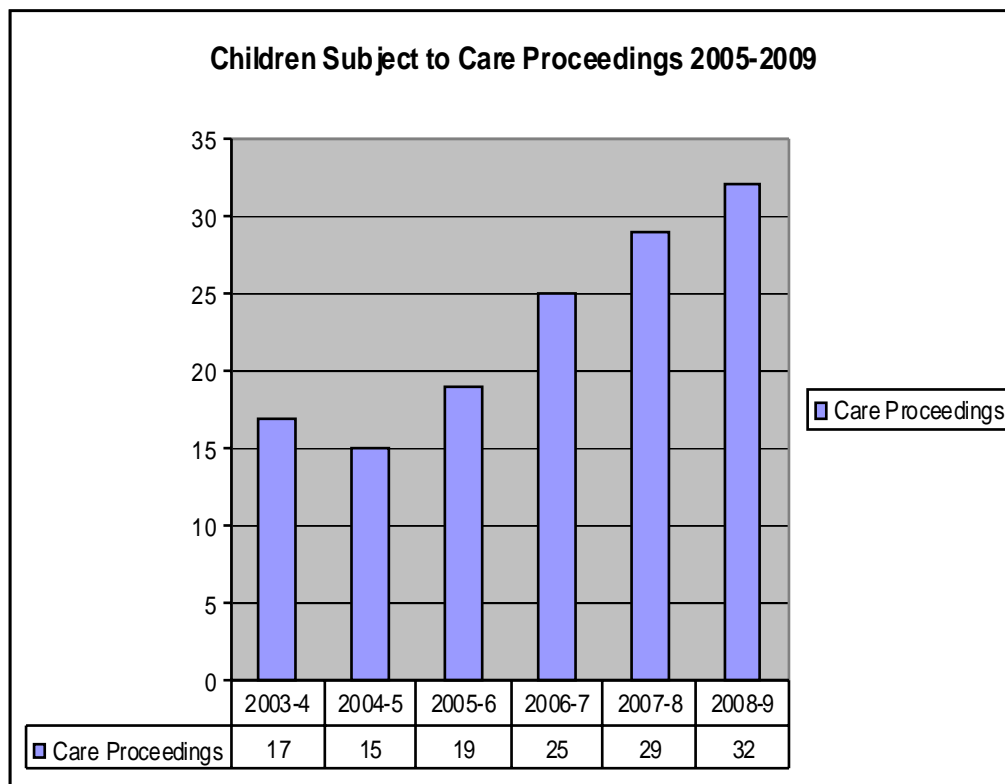
The number of children subject to protection plans does vary as demonstrated in the diagram above. At the time of writing this report there are 100 children subject to protection plans – apart from one family these cases are all being managed within the under 11 business unit. Children subject to protection plans necessitates monthly Core Groups, chaired and recorded by the social workers and statutory visits carried out at a minimum of every ten days. In reality a lot of families have to be visited a lot more frequently because of the risks to the children involved. Children subject to protection plans also require detailed Core Assessments of their needs, ongoing assessments of risk throughout the period of intervention and co-ordination of complex packages of care.

2.2.2 Table demonstrating increase in looked after children.



As the above diagram illustrates there has been a steady rise in the number of looked after children over the last four years. This reflects to a large extent the increase in the number of chronic neglect cases necessitating children being removed from their families. Currently 66 of these cases are being managed by the Settled Care Team which means 69 children looked after are being provided with services from the fieldwork teams. Similar to children subject to protection plans, service delivery involves regular social work contact with the children and young people; ensuring that robust planning takes place and that these plans are reviewed on a regular basis. It also involves statutory visits, facilitation of contact with the child's family and monitoring the progress of the child in relation to achieving the five Every Child Matters outcomes.

2.2.3 Table demonstrating increase in care proceedings



This table evidences a steady rise in the number of Care Proceedings since 2003 and shows a 50% increase in proceedings in 2008/9 from that of 2004/05. This equates to a substantial amount of increase in the workload of social workers as a result of preparing a number of complex court reports and attending court hearings. In April, 2008 the Public Law Outline was implemented which required the local authority to demonstrate that it had carried out assessments and work with the family prior to commencing care proceedings.

2.2.4 Caseload information. As mentioned previously the increasing complexity of cases has meant that social workers caseloads have to be closely managed in order to ensure that workers do not become over-loaded and unable to deal with their workload.

effectively. This has become increasingly difficult to do because of the increased number of complex cases and the difficulties of recruiting and retaining qualified, experienced workers.

There is no specific national guidance about caseloads, however, in Hartlepool we have tried to set a reasonable caseload for an experienced social worker at no more than 12 families with an absolute maximum of 28 children on any social workers' caseload. Out of the current 17 experienced social workers in the three family support teams and young persons team at the time of writing, including agency workers, only three social workers have 12 or less families. Fourteen of the social workers have more than 12 and there are particular pressures in one of the Family Support Teams and the Young Persons Team. The situation is particularly difficult currently due to the long term sickness of one social worker, a vacancy and the summer holidays when invariably a proportion of the workforce is on leave. An increase in establishment would relieve pressure and reduce risk at these difficult times as there would be some capacity to cover which we do not have currently.

2.3 Introduction of the electronic social care record (ICS)

- 2.3.1 ICS was introduced in Hartlepool in July, 2007 and it is fair to say that it has had a substantial impact on the workload of social workers who went from not inputting any data into a computer system to being responsible for inputting all data regarding a child and family without support from admin staff to do this. Without exception team managers and practitioners are frustrated with the amount of time it takes to input data into the ICS system and the impact this has on the time available to them to undertake direct work with children and their families.
- 2.3.2 This has also been found by the Social Work Task Force that has done a review on the ICS system nationally and highlighted issues such as the need to repeat the same data entry; the exemplars are poorly formatted and not understandable by service users or other professionals and they often compromise good social work practice.
- 2.3.2 Although urgent action is being taken by the Government to address the issues highlighted by the Social Work Taskforce, changes are not going to be immediate and without doubt an electronic social care record is here to stay. This being the case then there is a need to adjust the workload of social workers to enable them to effectively fulfill their requirements in relation to ICS whilst not compromising the quality of social work practice and intervention.

2.4 Improving quality

- 2.4.1 This is a key issue highlighted regularly but most recently in Lord Laming's Report of March, 2009. Lord Laming highlighted that there were significant levels of concern that the quality of work was compromised because of high caseloads and that social workers do not have the time to maintain effective contact with children, young people and their families in order to

achieve positive outcomes. Lack of time also affects the quality of reports and the ability to meet timescales and it reduces capacity to reflect on practice in individual cases. The Government's response to Lord Laming emphasises that "we need consistently high quality practice, working to high quality standards, focused on what will make a real difference to children's lives". However, to achieve this social workers need realistic caseloads to provide them with the opportunity to deliver good quality and effective services and undertake reflective practice.

2.5 Demands of training on the availability of staff.

- 2.5.1 It is important to develop a culture of continuous learning and professional development as a natural part of social work practice. A comprehensive annual training programme for social workers has been developed for social care staff in Hartlepool containing many courses where attendance is mandatory. There are also three social workers at any one time completing a post qualification university based courses necessitating them being out of the office at least one day each week. It is envisaged that as a result of Lord Laming's recommendations there will be a even greater demand for social workers to complete specific training, therefore, we need an establishment of social workers to accommodate the essential training social workers need.

2.6 A more rigorous inspection framework

- 2.6.1 The three year Ofsted programme of safeguarding inspections commenced in June, 2009 under the Comprehensive Area Assessment arrangements and there is also to be an unannounced safeguarding inspection on an annual basis. Part of this process will involve a survey of social workers as well as face to face contact with social workers. It is envisaged that an issue that may be pursued is social workers perception of their workload and scrutiny of caseloads generally. It is therefore, important that we can provide evidence that we have addressed the issue of ensuring that social workers have manageable caseloads and that they are being provided with high quality supervision and opportunity for reflective practice.

3. Implication and risks regarding insufficient social work capacity.

- 3.1 Social Workers work extremely hard to provide children and their families with a good service; however, they need the right support and conditions to do this. Working under stress does not result in a high quality effective service and above all the potential for identifying direct risks to children could be compromised. There are a number of risk factors inherent in a lack of social work capacity and can be summarized as follows:

- Reduction in the quality of work
- Lack of evidence of work being done (poor recording)
- Unable to achieve timescales and delays in permanency for children.
- Unable to do statutory visits or meet statutory requirements
- Reduced contact with children, young people and their families.
- Workers feeling over-whelmed and thus become less effective
- Less job satisfaction
- Increased sickness due to stress
- Increased staff turnover
- Failure to recruit
- Not able to meet performance indicators
- Less likely to be 'inspection ready'

3.2 If any of these risk factors prevail, vulnerable children in Hartlepool may become more vulnerable by the lack of capacity in the service to deliver services to meet their needs. Whilst Safeguarding and Specialist Services is working hard to mitigate against these risks, there is a need for additional capacity within the service to improve and strengthen performance. As the data in this report has shown there is an increasing complexity of the work that social workers are being required to undertake and in order to do this safely, a business case is being put forward to increase the social work establishment.

4. **Recommended additional capacity.**

- 4.1 The service is moving into a restructure which has been developed based on the existing establishment of social work posts. However, it has been identified that additional capacity is required to support the new structure in order to ensure effective service delivery. It is estimated that three additional social workers are required. One of these would be placed in the Initial Response Team and would increase the capacity of the team to respond to referrals, undertaking initial assessments and child protection enquiries. The current establishment of four social workers in this team plus a Principal Practitioner is felt to be insufficient, however, with the current capacity and the demands of the longer term work, there was little leeway to increase the numbers any further.
- 4.2 The revised structure has one under 11's team with 7 social workers and another with 6. It is proposed that an additional social worker is added to make 7 social workers in each long term team. These will be medium/long term teams dealing with complex children protection and care proceedings cases where caseloads need to be managed very carefully to achieve positive long term outcomes for children.

The third additional social worker would be added to the medium/long term over 11's team. Under the new structure this team loses a worker but again this could not be avoided due to the demands of the under 11's teams.

5. Financial implications.

Funding to achieve the above is available in the existing budget as set out in appendix 1 which is attached to this report. The funding has been identified by utilizing existing vacancies in the service to cover the posts in the current financial year and subsequent financial years. Furthermore, funding will be freed up as from April, 2010 when the Sure Start grant assumes financial responsibility for Children's Centre Family Workers.

6. Proposal.

- 6.1 That the social worker establishment in Hartlepool is increased by creating three additional social worker posts as set out above.
- 6.2 That funding for these posts is achieved through utilizing an existing vacant post within the service and posts that will be freed up as the Sure Start grant assumes financial responsibility for family support workers based in Children's Centres.

Sheila O'Connor
Head of Business Unit

9th July, 2009

Safeguarding and Review Unit-Service Delivery Review Options Report

Purpose of the report.

The purpose of this report is to review the current services being delivered from the Safeguarding and Review Unit and to answer key questions with regard to the effectiveness and efficiency of these services to inform the process of service delivery review.

The total budget of the Safeguarding and Review Unit is £222,725.

Current service delivery option and the key processes involved

The Safeguarding and Review Unit carries the responsibility for a number of statutory functions which can be summarised as follows:

- The convening, chairing and minuting of child protection conferences
- The convening, chairing and minuting of reviews for Children in Care
- The convening, chairing and minuting of adoption reviews
- The convening, chairing and minuting of reviews of foster carers
- Regulation 33 inspection visits to Exmoor Grove
- Advice and consultation to the children's services workforce

What outcomes are we seeking to achieve?

Since the implementation of the Every Child Matters agenda following the report by Lord Laming into the death of Victoria Climbié, there is a much clearer expectation that all services provided to children and their families will be focussed on the achievement of clearly identified and agreed outcomes. This has proved a significant challenge to services who would historically report on their processes (what we have done and how much) but found it more difficult to identify what difference the services had made to the particular client group being served (the 'so what' question)

To assist with this more outcome focussed approach the Every Child Matters agenda identified five key outcome areas for children as follows:

- Be healthy
- Stay safe
- Enjoy and achieve
- Make a positive contribution
- Achieve economic well being

The Safeguarding and Review Unit carries key responsibilities to ensure the children and young people of Hartlepool are kept safe and protected from the impact of abuse and neglect. The services of the unit are particularly focussed on those children who are either assessed as being at risk of significant harm and are therefore in need of the provision of services coordinated on a multi agency basis to promote their safety and well being, or who are looked after and require arrangements to be in place to review their care planning and promote positive outcomes.

Whilst the broad outcome for these children is to stay safe and make good progress within their individual protection or looked after plans, more specific outcomes will be identified linked to the needs identified within the process of assessment.

Service standards, eligibility thresholds, current performance levels, future service needs

The standards for the work of the Safeguarding and Review Unit are detailed within Working Together which is the central government document providing guidance to all local authorities and their partner agencies. Hartlepool Child Protection Procedures are based on Working Together and are endorsed by the Local Safeguarding Children Board. In addition quality standards for the social care workforce identify key expectations of the workers within the Safeguarding Unit with regard to their practice.

Child protection procedures are implemented when sufficient concerns are raised with regard to a child's situation that may constitute significant harm. This will lead to a timely enquiry into the child's circumstances and an assessment of both need and risk under Section 47 of the Children Act 1989. These enquiries are carried out by a social worker and in some circumstances jointly with a police officer.

For some children, the identified risks and concerns lead to a conclusion that their safety and well being cannot be provided within their family situation and these children will become looked after. Where a child is looked after, the local authority has a statutory responsibility to ensure robust planning is in place to secure permanence for the child at the earliest opportunity, ensure the services provided meet their assessed needs and to promote improved outcomes for the child. The Safeguarding and Review Unit carries the statutory responsibility to review the arrangements for looked after children, keeping the interests of the child at the centre of any meeting or discussion. There has been a 33% increase in the number of looked after children over the last 3 years.

The threshold for when children should be considered under child protection procedures is determined by the evidence of significant harm. The concept of significant harm was introduced within the Children Act 1989 and provides the threshold which justifies compulsory intervention in family life to promote a child's safety and welfare. It can, however, be influenced by a number of contributory factors as follows:

- How well practitioners understand the concept of significant harm;
- How confident practitioners are at working with levels of risk outside of child protection procedures;
- Increased awareness in the community with regard to abuse and neglect;
- The level of experience a practitioner may hold;
- Whether there has been a recent serious case review;
- Media reporting of child protection practice linked to child deaths.

Following the significant media reporting on the death of Baby Peter, Hartlepool, like many other local authorities nation wide, has experienced an increase in the number of children who are made subject of a protection plan. In June 2010 there were 135 children subject to a protection plan compared to 75 January 2009. This increase in the numbers of children subject to a protection plan has led to a significant increase in the workload of the Safeguarding and Review Unit with a higher number of child protection conferences being held.

The increase in the unit's workload has to be managed to ensure that all the statutory functions linked to looked after children and children subject to protection plans are maintained. Despite the increase in workload, the service has continued to meet its high targets against the National Indicator Set for performance related to the work of the Safeguarding and Review Unit.

Independent Reviewing Officer (IRO) Handbook

The IRO Handbook has recently been published by the Government. It contains a number of proposals to strengthen the role of the IRO and increase their involvement in care planning and advocacy for looked after children. This document poses a significant challenge to local authorities to fulfil its new statutory requirements within the present level of resource as it demands a number of extra responsibilities for IRO's compared with their current role. A significant aspect of the guidance is it contains a recommendation with regard to the number of cases an IRO should hold in order to deliver the expected service to looked after children. At present this would be extremely difficult to establish given the workload being managed within the unit.

Current staffing structures

The work of the Safeguarding and Review Unit is covered by the following staff:

- 1 full time Head of Business Unit
- 3 full time Independent Reviewing Officer posts (covered by 4 workers)
- 1 full time Development Officer post (LSCB)
- 1 half time Training Officer post (LSCB)
- 4 full time Administrative Support posts

The main costs incurred by the Safeguarding and Review Unit are the staff salaries.

Should we consider stopping the delivery of this service or elements of it?

The services provided by the Safeguarding and Review Unit are statutory services that the council has a duty to provide and which are targeted towards the most vulnerable children within the Borough. It is therefore not possible to consider stopping the delivery of these services as they remain essential to

ensure that those children who are assessed as being at risk are provided with robust protection and in some cases substitute care. In addition the council would become open to a legal challenge for not fulfilling its statutory function in relation to these children.

Options Analysis

Option 1 – Reduction in the size of the team

Due to the fact the main costs within the Safeguarding Unit are incurred from the payment of salaries, the only way to make any budget savings would be by reducing the size of the team. This would, however, leave the unit with insufficient staffing resources to carry out the statutory duties linked to child protection and children looked after and would result in the council being placed in an unacceptable situation of risk. In a recent announced inspection carried out by Ofsted it was noted that

“Child protection conferences and reviews are undertaken within statutory timescales, despite the increased level of demand. As a result, children are effectively protected by multi agency plans;” and

“(Reviews) are timely and held in accordance with statutory requirements. Independent Reviewing officers hold a caseload which ensures they are able to be a consistent feature in the lives of looked after children and young people. There is evidence IRO’s provide effective challenge and that differences of opinion are discussed appropriately to the benefit of children and young people”

This and the overall findings of the inspection has provided a sound endorsement of safeguarding practice in the Borough and it is essential that these high quality services are maintained for children in the future. This will only be possible if staffing levels are maintained.

Option 2 – Commission the service to an alternative provider

This option would likely incur greater costs than those that currently exist as external providers for this sort of work are usually linked to social care agencies whose costs are significantly higher than the wages paid to permanently employed staff. The current consistency of service and the commitment to continue to improve the quality of service delivered may also be jeopardised under this option. There is currently no model being used nationally for the delivery of the safeguarding and review function through a commissioning arrangement.

Option 3 – Maintain the current status quo of the Safeguarding Unit

Against the backdrop of increasing workload and extra responsibilities for the staff within the Safeguarding and Review Unit this is the preferred option to consider and will still mean the unit faces a considerable challenge to maintain its performance at the present level if the upward trend in children becoming subject of a protection plan and looked after continues and the proposed statutory guidance for IROs is implemented.

Summary

In conclusion, therefore, it would not be possible to make savings linked to the Safeguarding and Review Unit without running the risk of leaving some children unprotected and at risk of significant harm. This review has not identified any alternative method to deliver the services of the unit which would be more effective in terms of both service provision and cost.

Under these circumstances the recommendation of this service delivery review report is that the current status quo of the Safeguarding and Review Unit should be maintained alongside close scrutiny of the future anticipated pressures to the unit linked to a continued upward trend in the number of children becoming the subject of protection plans and the increased demands placed on IROs to comply with the proposed statutory requirements.

The Safeguarding and Review budget was calculated at budget build to be £222,725 if Option 3 is accepted then the overall budget remain at £222,725 representing a percentage saving of 0% against the total budget.

Maureen McEnaney
Safeguarding and Review Manager
January 2010

Service Delivery Option

Through Care Team

Background

The Through Care Team was formed on the 26th April 2010 as part of the Business Transformation Management Review workstream within the Safeguarding and Targeted Division by bringing together the Settled Care and Access 16 Teams. One Team Manager post was deleted from establishment as part of the managerial savings. The Team Manager of the Settled Care Team now manages the new integrated team. The team has recently become co-located to enable the two groups of staff to integrate and be managed in an effective way. Given that the creation of the team has happened recently, this report will consider them separately but keep in mind the possible savings that might be achieved by their coming together.

The Through Care Team comprises of:

- 1 Team Manager,
- 2 Principal Practitioners – one for each service area
- 3 Social Workers for children looked after
- 3 Social Workers/personal advisers for young people leaving care

The team is supported by one full time and one part time admin staff.

The overall budget of the team is £736,183 and is made up as follows:

- Settled care team staffing costs £360,961
- Leaving Care/Access 16 Staffing costs £207,906
- Leaving care allowances (statutory allowances paid weekly to young people who have left care but are under the age of 18 and remain eligible, relevant or financially reliant, payment is required to be in accordance with the Job Seekers Allowance level)

Current Arrangements

Settled Care Team

The Settled Care Team was created in 2003 following a review of performance. The conclusion reached was that the immediate needs of child protection and initial assessments lead to the priority accorded to work with looked after children and young people being reduced to the level of meeting only the absolute minimum requirements. Comparisons with other authorities were made and the evidence gathered supported the view that a team specialising in looked after children and young people leads to improved outcomes for children and young people. This is achieved through an improvement in service delivery including additional support in particular to placements where difficulties were being experienced both by the children and the carers and a significant improvement in morale of staff working in such team, evidenced by a reduction in sick leave.

Current Performance

A significant advantage that was quickly noted within 18 months of the team being formed was a more pro-active approach to long term planning and a considerable increase in the number of Special Guardianship Orders being sought and obtained by foster carers thus reducing the work demand on the department. It also reduced the demands on the budget, albeit that a Special Guardianship allowance is payable. It is noticeable in Hartlepool that the number of foster placements where the carers are relatives (kinship care) is considerably lower than both the English and North East average. This is largely due to the longer term planning which often results in such placements ceasing when the relatives acquire a Residence Order via the Courts, supported by the workers from the Settled Care Team.

The work of the team greatly influences the two performance indicators relating to stability Indicator NI 62 (less than 3 placements per year) and Indicator NI 63 (long term stability [child has remained in the same placement for at least 2 years out of the last 2 ½ years]). Both have improved significantly during the years since the formation of the team. [Details in the Placement Team report]

Focusing the team's work on looked after children has made it possible to fully develop working relationships with other professionals involved in the provision of services to looked after children. There are close links between health staff who provide the health assessments and ongoing health advice to look after children and young people and high levels of performance have been recorded in relation to the percentage of health assessments completed on time, as well as the new questionnaires assessing the emotional wellbeing of looked after young people. The Hartlepool approach was noted as evidence of good practice in the very recent Government guidance on improving the health and emotional wellbeing of looked after children.

Similar close links have been built with designated teachers in schools and while it is not currently a national indicator, each term there is an audit of personal education plans and that has confirmed that their production is consistently on time, to a good standard and already addressing the issues of one to one tuition etc prior to the Government guidance on the personal education allowances that was issued in 2009.

Staff turn-over in the Settled Care Team has been low and, in particular, sickness absence has been extremely low. Since it is much easier to manage work flow and peaks in demand within this team, they have been able to take the most advantage of the initiative in the last 2 years to increase the amount of flexible and mobile working leading to a stable and settled team.

Now that the team's practices are well established, the interface with the child in need teams has been re-examined. In line with the recent restructuring of the division, the criteria for transfer to the Settled Care Team has been changed so that the responsibility for the child is transferring to the Settled Care Team while Care Proceedings are ongoing. This is partly due to the extended period (up to 15 months) that Care Proceedings can last and before which the previous criteria

were met or transferred to the Settled Care Team. Among the advantages to this much earlier transfer (after the second review at 4 months) are improved consistency for the child, two different workers focusing on different aspects of the case i.e. the child in need team concentrating on the proceedings and subsequently working with the adults while the Settled Care Team concentrates on the child and meeting their needs in a timely fashion.

There are close links between this team and the Participation Officer whose main function is to encourage the participation of children and young people in feedback to the department in terms of the current and future provision of services. The requirement to set up a Children in Care Council was achieved with their active involvement to the extent that they decided to call it the Young Persons' Council. The costs associated with this aspect of provision is growing as the activities extend and the young people take advantage of regional and national opportunities to extend their influence on thinking and developments. A number of the Looked After young people are part of the national feed-back panel to the Children's Rights Commissioner having visited the Houses of Parliament last year to give direct evidence to him. In an area where increasing demands are being made, it is difficult to consider areas where savings can be made directly. However, if the young people are involved in future developments there may be savings achieved due to their input preventing unnecessary changes in the light of late consultation.

Delivery Options

The care of looked after children and young people is a statutory responsibility that must be provided, directly or indirectly, by the local authority and consequently it is not possible to consider ceasing to provide this service. There is a continuing pressure from Government to improve outcomes for looked after children and local authority performance in this area of work. Indeed, a consultation exercise has just been completed by Government in relation to a revision of the guidance covering all aspects of this area of work. The additional demands that will be made as a result of the very recently published Regulations and Guidance on Care Planning will impact most on this team and the Independent Reviewing Officer service.

It would not be possible to cease providing this service and if the current arrangements were to be discontinued, then it would have to be shared out between the teams currently providing the rest of the social work service. There would not be any particular saving in this since the number of cases would remain the same and unless other work was discontinued, then the same number of Social Workers would be required. Similarly, a reduction in the number of staff within the team would increase the number of cases supervised by each Social Worker to a level considerably higher than permits minimum standards being met. There is currently a national pilot underway looking at Social Work Practices which commissions this area of work from the voluntary or independent sector. There are 6 local authorities taking part in the pilot scheme. Hartlepool is part of the study as a comparator site and the results will be published in 2 years time. Preliminary examination of the test sites shows that the aim is not primarily to achieve savings but to increase all of the performance measures associated with

this area of work. The expenditure associated with this service is virtually all spent on staff with no single dimension showing significant costs.

Current Arrangements

Access 16 (formerly Leaving Care Team)

Given the relatively small size of the authority, much discussion was held as to how to best provide Leaving Care services in Hartlepool. After extensive consultation with service-users and employees, and evaluation of Leaving Care services elsewhere in the country, it was decided that the best model of service delivery in Hartlepool was to create a distinct Leaving Care team, with its own managerial structure. This was accomplished in November 2003.

From 2003 until 2008 the Leaving Care Service operated from 85 Station Lane in Seaton Carew. However, after the Joint Area Review in 2007 a recommendation was made that the service move into a more central location to improve access for Care Leavers. Recognising the need to work collaboratively with partner agencies (with specific reference drawn to the Connexions service) it was strongly felt that a central office base would help to further involve young people and give rise to more opportunities to develop professional partnerships. The Leaving Care Service therefore relocated to the Victoria Buildings in Tower Street, Hartlepool in June 2008 which enabled Care Leavers to have easier access to the Leaving Care Team as well as bringing them into direct contact with Connexions' service personnel who share the building.

The Children (Leaving Care) Act 2000 detailed the new entitlements for care experienced young people. This legislation, underpinned by the Children Act 1989, gives local authorities specific statutory duties to provide support services to young people leaving care. Consultation on a revision and extension of the regulations and guidance was published by the Government earlier in 2010.

In addition to the statutory leaving care service that is provided by the team the most recent Government guidance confirming a House of Lords judgement [re G versus Southwark Council] places the responsibility for meeting the needs of 16 and 17 year old homeless young people firmly at the door of children's social care with an expectation these young people will be assessed for local authority accommodation. Historically, 16 and 17 year old young people could be dealt with under homelessness legislation and, where they are deemed to be vulnerable by definition or by the Children Act 1989, they could be assessed as a child in need. Working practices over the years have meant that the housing or homeless sections of the housing department have dealt mostly with 16 and 17 year old homeless young people. In Hartlepool, the protocol was evolved more than 10 years ago and reviewed every three years. The last review was done in February 2009.

However, the latest ruling, reaffirmed by the Government places responsibility to assess the needs of a 16 or 17 year old presenting themselves as homeless with the Child and Adult Services department, not housing. Active liaison between the

two departments should follow so that housing need can be met as well as addressing the other issues that have probably contributed to the young person becoming homeless. To date, no particular record has been maintained of the amount of work that this may involve for the Child and Adult Services Department. As part of the Children's Services Scrutiny Forum review that addressed the issues of youth homelessness in Hartlepool, it was noted that there are up to 270 applications per year made to the housing department from 16 and 17 year olds who are presenting themselves initially as homeless. However, intervention by housing staff and subsequently by Child and Adult Services staff led to less than 10 young people in any one year becoming designated by the homeless section as homeless and provided with accommodation.

Temporary funding provided by the child and adult services department, housing advice section and the youth offending service have permitted the appointment of a temporary member of staff to supplement the leaving care team's capacity so that they as a team can provide an initial assessment and subsequent intervention for all 16 and 17 year olds presenting themselves as homeless to either the homeless section or the child and adult services department. Practically, one of the leaving care staff members is provided with full office facilities at the homeless section building and deals with all enquiries from 16 and 17 year olds presenting themselves as homeless. Accurate records are being maintained which have informed a report to the Children's Services Portfolio Holder about the impact of this judgement and the increase demand on services due to the impact of such applications. This information enables the child and adult services department to consider how best to meet this need. It is likely that there will be both staffing and budget considerations to take into account and the report has that at least one permanent member of staff will need to be added to the establishment to deliver on this new statutory requirement. Work is underway to establish a permanent post across the division (taking into account the requirement for the Youth Offending Service to have a named housing officer) within existing resources.

The rationale for asking the Leaving Care team to take on this role is that one of their functions is to ensure that all young people leaving care are provided with appropriate and adequate accommodation at that point. Consequently they already have links with each of the provider sectors and the potential sources of financial support for young people. It seems unlikely that any other team would be better placed to take on this additional function

Current performance

There are two National Indicators that relates to the performance of this team.

NI 147 (Care leavers in suitable accommodation) seeks to ensure that the Pathway planning has resulted in young people having accommodation that meets their needs. While the returns for Hartlepool appear to be variable it needs to be kept in mind that the number of young people who are considered for the Indicator is between 7 and 10 each year making each young person 12% of the total. Often a lower figure is the result of one young person alone.

NI 148, (16 to 18 year olds who are not in education, training or employment) this indicator relates specifically to care- leavers. Consistently, the performance on this indicator has been variable year on year. One of the factors adversely influencing the performance is that any young mother who remains at home with her infant is automatically classed as not in education, employment or training. Given that each person in the cohort usually accounts from between 9 and 12% of the total it is easy to see how a small change had a great effect in the percentage outcome. The balance between the three activities has varied and most recently the highest has been training. However, two young people started Higher Education courses in September 2009.

NI 147 Care leavers in suitable accommodation				
Time Period	Hartlepool	National	Stat Neighbour Highest	Stat Neighbour Lowest
FY 2002/03		74.5	100	61
FY 2003/04		79.6	100	56.5
FY 2004/05		83.9	100	65.5
FY 2005/06		87.9	96	65.5
FY 2006/07	87.5	87.3	100	82.1
FY 2007/08	100	88.4	100	65.8
FY 2008/09	85.7	89.6	100	59.3
NI 148 Care leavers in education, employment or training				
Time Period	Hartlepool	National	Stat Neighbour Highest	Stat Neighbour Lowest
FY 2002/03	33	48.6	58.0	18.0
FY 2003/04	33	55.4	63.0	38.7
FY 2004/05	60	58.4	65.0	47.8
FY 2005/06		62.8	84.6	24.1
FY 2006/07	75	62.7	91.7	44.4
FY 2007/08	60	64.9	81.3	28.9
FY 2008/09	57	63.0	83.3	25.9

Delivery Options

Options	Impact
<p>Reductions</p> <p>In-spite of the additional work in relation to 16 and 17 year old young people the small staff team could be reduced with consequent eventual savings (after early retirement/voluntary redundancy arrangements are taken into account)</p>	<p>Individual case loads would then exceed significantly a level required to meet minimum standards of practice. Inherent in this is a risk of reduction in the quality of the service that would be provided detrimentally impacting upon the support available to vulnerable young people, performance indicators and staff moral making recruitment/retention more difficult.</p>
<p>Reduction in allowances payments to young people would reduce expenditure.</p>	<p>Government guidance sets out the minimum payments payable to young people who are the statutory responsibility of the leaving care service and there is a risk that young people with the assistance of the national care leavers advisory service would initiate litigation against the council if the minimum level of payments was not paid. Currently the minimum level of payments are made.</p>
<p>The local authority to stop providing this service.</p>	<p>The authority would face intervention by government by failing to provide a statutory service.</p>
<p>The option of commissioning the service to be pursued.</p>	<p>Only a very limited number of authorities have opted for this option and 2 in the region who did so previously have returned to direct provision suggesting that there are disadvantages to this option. It is difficult to estimate whether budget considerations were part of the reviews in the region that led to the return to direct provision.</p>

<p>Savings While this is a discrete service making provision for a specific group of young people, the co-location of the team with the Integrated Youth Support Service means there is the maximum opportunity for cooperative working and economies in terms of the efficient use of office space, support services and the effective provision of universal and targeted services to this specialist group of young people.</p>	<p>Ongoing savings can be retained but they will plateau when maximum efficiency levels are achieved suggesting no year on year additional savings.</p>
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Conclusion

The costs associated with service provision delivered through the Through Care Team are primarily associated with staffing costs. This team is a new team that has brought together the previous settled care and leaving care teams under one manager. Therefore, it has, to date, contributed to the Business Transformation programme. The workload of the team and the caseloads carried by the workers within it indicate that staffing levels are appropriate to ensure that children looked after and those leaving care receive the level and quality of service they require. Any reduction in the number of staff in the team would impact upon the services provided leading to poorer outcomes for children looked after and care leavers, a group of children and young people who are already very much at risk of poor outcomes when compared with their peers who are not care experienced.

The remaining funding is associated with the provision of allowances to care leavers. This is a statutory requirement placed upon the local authority under the Children (Leaving Care) Act 2000 and the allowances are set at a required minimum level. If the Council ceased to pay these allowances it would be at risk to legal challenge for not meeting its statutory functions. No savings can be offered from this service at this time.

Jim Murdoch

Head of Business Unit (Resources & Specialist Services)

Service Delivery Options

Placement Service

Current arrangements

The Placement Team fulfils the statutory functions of the local authority by providing the two regulated services – Fostering and Adoption. Being regulated demands that there is regular inspection by OFSTED and the results of the inspections are taken into account when rating the department and the authority. There are National Minimum Standards which set out the statutory requirements for both fostering and adoption with which the services must comply and the inspection process evaluates compliance against these standards.

The Placement Team comprises of:

- 1 Team Manager,
- 2 Principal Practitioners – one for each service area
- 5 Fostering Social Workers
- 2 full time and 1 half time Adoption Social Workers.
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The team is supported by one full time and one part time admin staff.

The total budget for the Placement Service (excluding costs associated with commissioning) is £2,723,389. This is made up of £528,401 staffing costs and £2,194,988 to pay allowances to foster carers and support children subject to residence orders, special guardianship and adoption orders.

Current performance

Fostering

There are a number of inter related performance measures that need to be considered in relation to reviewing the fostering service. It could be argued that the most critical performance factor is that of increasing the range and number of foster carers to meet the varying needs of the children and young people looked after by the local authority. Given the age profile of the foster carers over the last 10 years, a significant factor impacting on the number of foster carers has been the retiral rate due to age. This has been particularly high and exceeded all other reasons e.g. moving out of the area, no longer wish to foster etc. Consequently, efforts to recruit new foster carers have had to make up for the retiral rate before any net increase can be seen.

In the period April 2008 – March 2009 the team achieved the approval of 8 mainstream carers for a total of 12 children and 9 kinship carers for a total of 11 children. The overall number of approvals was therefore 17 households. The Fostering Panel accepted the resignation of 5 mainstream foster carer households and 7 kinship. The overall number of resignations was therefore 12.

Foster carer Numbers	Mainstream	Sharing the Caring	Remand	Kinship	Total
31 March 2008	63	5	2	5	75
31 March 2009	66	5	2	7	80
31 March 2010	75	2	2	4	83

However equally important in terms of the experience of children and young people is the ability and willingness of the foster carers to maintain placements, rather than ask for children and young people to be transferred to other carers. Two national indicators cover this area.

Indicator NI 62 – less than 3 placements per year. There has been a continuous improvement in this indicator from 17.5% to 8.4% in the last 5 years. This has been achieved at the same time as a 33% increase in the number of children and young people have become looked after.

NI 62 - Stability of placements of looked after children: number of placements				
Time Period	Hartlepool	National	Stat Neighbour Highest	Stat Neighbour Lowest
FY 2002/03	17.5	14.8	25.2	9.8
FY 2003/04	17.2	13.7	18.0	10.7
FY 2004/05	16.9	13.6	17.5	7.4
FY 2005/06	12.8	12.9	15.1	8.3
FY 2006/07	17.2	12.6	13.9	8.8
FY 2007/08	13.1	11.8	17.5	7.6
FY 2008/09	8.4	10.7	15.8	5.3

Indicator NI 63 – long term stability [child has remained in the same placement for at least 2 years out of the last 2½ years]. Again there has been consistent improvement each year in relation to this indicator moving from a low figure of 45.7% in 2003/4 to 63.9% in 2008/9.

NI 63 - Stability of Placement of looked after children: length of placement				
Time Period	Hartlepool	National	Stat Neighbour Highest	Stat Neighbour Lowest
FY 2002/03	52.6	62.7	70.2	31.3
FY 2003/04	45.7	63.7	71.6	47.9
FY 2004/05	50.0	62.9	71.3	47.1
FY 2005/06	52.5	63.6	75.4	57.0
FY 2006/07	59.6	64.4	77.1	55.3
FY 2007/08	61.7	65.3	75.2	58.5
FY 2008/09	63.9	67.0	73.9	46.8

As a regulated service, the fostering service is inspected on a 3 yearly basis by Ofsted. In each of their inspections, Ofsted have rated the service as good overall. The components within the overall grading have never been less than satisfactory and the number of those graded good has continued to increase. This compares favourably with other local authorities and independent sector providers of foster care.

In both the fostering and adoption services, feedback from carers and adopters has been extremely positive in terms of the quality of service supplied by the team. This has been achieved in spite of considerable periods of time when there was not a complete staffing complement due to gaps between staff leaving and new staff being appointed. Indeed, there was a period of nearly 9 months when an interim team manager managed the service until a permanent appointment was made and took up post.

Adoption

There is one main national performance indicator for the Adoption Service:

NI 61 – timeliness of placements of looked after children adopted following an agency decision that the child should be placed for adoption. With regard to this indicator, this authority's performance has been excellent with only one child in each of the two years in the table below falling outside the target period. This measure gauges if the agency has a sufficient supply of approved adopters who can meet the needs of children requiring an adoptive placement. Sometimes geographical requirements, ensuring that the placement is sufficiently far away to prevent disruption by the birth family, demand that an exchange arrangement is made within the national framework and adopters approved by Hartlepool are used by another local authority.

Performance in this indicator demonstrates that Hartlepool Adoption Agency is working effectively, is approving an appropriate number of carers to match the needs of children who are to be placed for adoption and is able to provide placements to other local authorities on an exchange basis.

NI 61 - Timeliness of placements of looked after children for adoption following an agency decision that the child should be placed for adoption				
Time Period	Hartlepool	National	Stat Neighbour Highest	Stat Neighbour Lowest
FY 2002/03		80.4	100	67.9
FY 2003/04		78.1	93.8	71.9
FY 2004/05		80.3	95.7	71.4
FY 2005/06		76.5	93.1	66.7
FY 2006/07	71.4	75.0	94.4	50.0
FY 2007/08	100	76.3	90.5	63.6
FY 2008/09	88.9	75.8	96.3	67.6

As a regulated service, the adoption service is inspected 3 yearly by Ofsted while the grades achieved by the adoption service have always been at least satisfactorily, there have been a number of recommendations made, now fully implemented, that related to the administration, management and development of the service. In order to strengthen the performance of the adoption service, additional staffing was identified and the placement service restructured to increase capacity for adoption work. A further inspection is anticipated in 2010/11 and the service is optimistic it will be judged as good overall.

Several elements of the adoption service are required to be provided on an independent basis and on a Teesside basis, the agency (After Adoption) has been granted a 3 year contract to provide those independent elements for the Teesside Authorities. By using a multi Local Authority approach, the maximum efficiency and lowest price consistent with good practice could be achieved.

Delivery Options

Fostering

As the service fulfils a statutory duty, ceasing to make the provision is not a viable option.

In Hartlepool, there have been a number of developments since 1996 to increase the pool of foster carers. The authority has moved to a commitment to pay the Fostering Network recommended rates and associated reimbursements e.g. mileage rates. With the increasing focus on training and development of skills of foster carers, a payment scheme was devised and implemented that recognised the increased skill levels of foster carers and the carers progression payment scheme has helped to retain experienced foster carers and attract new carers to the authority.

It is important to note that the local authority is seeking to recruit foster carers in the face of efforts by other local authorities and the independent sector to recruit suitable people. Historically, local authorities delivered their own fostering agencies, however, in the last 10 years the fostering landscape has changed significantly with the emergence of independent fostering agencies delivered by the organisations in the voluntary and statutory sector. There is now a high level of competition in the market to attract prospective foster carers and the terms and conditions offered by local authorities often compare unfavourable with the independent sector. Nationally, there is a shortage of foster carers and consequently all efforts to recruit need to bear in mind those elements of the fostering service that will help to retain foster carers once they are approved.

The Government has recently placed a new statutory responsibility upon local authorities to take steps to secure sufficient accommodation to meet the needs of looked after children in their local area. In Hartlepool, the looked after strategy which is in draft form at present outlines a number of strategic priorities to increase the range and choice of fostering provision delivered by the Council to contribute to achieving this sufficiency duty. The strategy sets a target of 95 mainstream foster carers by 2013 translating into approximately 36 placements for children and young people. The strategy goes on to outline action required to increase the range, choice and quality of internal foster care provision by:

- Review of Banded Payment Scheme, including but not limited to:-
 - Review of fees and allowances and impact evaluation of any increase or decrease in fees;
 - Retainer payments for Band 5 carers;
 - Links between skills and competencies of carers, the level of payment received and quality of placements provided;
 - Movement patterns up and down bands;
 - Links with National Fostering Agency.

- Ensure mechanisms are in place to identify those foster carers who repeatedly underperform and/or are unwilling to undertake additional training to meet standards.
- Implement revised recruitment and retention strategies to address placement gaps in particular in relation to teenage and sibling group placements and the demographic challenges stemming from an ageing foster care base.

These strategic priorities will be delivered over the coming three years, will contribute to the Business Transformation process and if successful will reduce costs associated with commissioning foster placements from the independent sector. (Year 3 SDO review)

Due to the shortfall in local authority fostering provision and the numbers of children requiring placements, there has been the need to use independent fostering agencies to meet the placement needs of some of children and young people. The widely differing needs of the children and young people were such that up to 7 or 8 independent fostering agencies were in use at any one time. The range of costs varied considerably but the objective of reducing their use globally meant that in the initial stages, the low numbers placed with any single agency was too low to pursue a cost/volume reduction with an individual agency or agencies.

However, in 2007 the placement strategy was developed and there was a move to commission part of the service in a bid to manage the costs on a medium term basis at least. It was decided to pursue a model whereby a partner in the independent sector was sought with a view to reducing the number of agencies involved and fixing the costs of placements for a defined period (3 years). It was also hoped to develop joint ventures with the agencies in terms of recruitment and training with a view to reducing the number of placements made with other independent fostering agencies and the consequent reduction in costs. At the end of the tender process, the National Fostering Agency became the formal partners with Hartlepool Borough Council in 2009.

Maintaining the status quo will yield some improvement due to a more settled work group and other advantages arising from the restructuring of the Division as a whole that was achieved in the last few months. However, there is unlikely to be a major saving in relation to the costs of external placements even when the Partnership reaches the maximum capacity point. There are regional initiatives under the auspices of the Regional Improvement and Efficiency Partnership, supported by the Directors of Children's Services group, to harness regional efforts and hence achieve financial savings in the medium term. The current staffing enable this department to participate in those regional initiatives sufficiently to get the advantages.

Part of supporting foster carers is the provision of equipment such as stair gates, cots, buggies, beds, wardrobes etc for the use of the children placed. This equipment does need to be replaced periodically as well as the initial

provision. Local suppliers have been used but with the integration of the department and the increased emphasis on the commissioning process, the overall annual budget provision of £3,000 could be reduced with a larger buying base of the whole department and a more stringent commissioning approach to achieve more value for money while retaining the same level of provision. Given the size of this budget however, any savings would be minimal.

Another area of potential savings relates to the payments made to the foster carers. Foster carers who are well trained and supported are in a far stronger position to maintain difficult placements and provide good consistent nurturing environments for children and young people. Fostering social workers have applied the relatively new national minimum standards in terms of the skills development of foster carers over that period and interestingly no foster carers have left the authority to become approved by an independent fostering agency in the last 4 years. Indeed, 4 foster carers have transferred from the independent sector to Hartlepool's fostering services based on the excellent support that they received from the social worker of the Hartlepool child in place.

The general support given to foster carers includes meeting the Fostering Networks national recommended minimum rates and the implementation of a carers' payment progression scheme that recognises the increased skills that arise from a combination of training, support and experience. The Children's Workforce Development Council in conjunction with others have evolved a national recognition of competencies in foster caring and all of Hartlepool's foster carers are encouraged to follow the modular scheme. A revision of the carers' payment progression scheme will take place to take into account the requirements of the CDWC scheme. There has been no increase in the levels of payment within the carers' payments scheme for the last 3 years and there are no proposals to do so until the scheme is revised. An up to date benchmarking exercise will be a critical part of that review. Even if no savings are accrued as part of that review, there will be confirmation of the validity of the scheme within the recruitment and retention strategy.

In undertaking the review, it should be borne in mind that any reduction in the financial package associated with being a foster carer would most likely make the department less competitive within the region in terms of the support package for foster carers and there is a distinct risk that this may result in the loss of foster carers to the independent sector or other local authorities who offer better allowances and payments. Indeed the emergence of independent fostering agencies did have that very effect, when the independent sector developed initially and paid substantially more to foster carers. A movement of carers away from the local authority would be a significant risk as placements would need to be purchased from the independent sector where, even with partnership arrangements, the costs are high.

In addition to the retention issue, recruitment would be made more difficult for the same reasons. The next consequence would be an increased dependence on purchasing independent fostering agency placements beyond

the capacity of the current independent partnership arrangement with a consequent net increase in costs.

Fostering services - summary

Options	Impact
Reduce the number of Social Workers in the team	There will be a reduction in salary and on-costs e.g. mileage, however, since the remaining social workers would be unable to support the current carers and recruit and more there would be an inevitable increase in the number of foster placements being obtained from the independent sector at considerably more cost. Indeed as the independent sector contracts in terms of the number of agencies decreasing, (as the smaller agencies are purchased by the larger agencies), there is also the financial risk of the costs increasing disproportionately as a result of the near monopoly situation that is likely to arise. Consequently the net financial impact will be adverse.
Cease to provide the service	Breach of statutory duty - major impact on the standing of the Local Authority
Work jointly with other local authorities	Work is currently being done in the region under the auspices of the Regional Improvement and Efficiency Partnership whereby 3 local authorities in the north of the region are working together to scope the impact of creating a fully integrated commissioned service – perhaps on a sub regional basis. Consequently, it is not possible to offer even preliminary information on the financial impact and any decision in relation to this option should be postponed until the findings of that regional exercise are made available.
Reduce the fees and allowances paid to foster carers	Initially there would be a reduction in expenditure but a net increase would emerge due to the anticipated increase in use of Independent Agency placements at greater unit cost.

Enter a partnership with the Independent sector	Already achieved and the impact is being monitored. Will report in 2 years time when the full effect of the 3 year project can be analysed. Commissioning arrangements will be subject to a Year 3 Service Delivery Option Review
Commission the provision of loan equipment for foster carers	If the commissioning included other service areas within the Department e.g. Early Years, there would be possible scope for a reduction in overall costs
Reduce the numbers of children looked after	This is a strategic priority for the council and will be the most effective means to achieve savings against the payments made to carers for looked after children. This option is further debated in the overarching report.

Adoption

As the service fulfils a statutory duty, ceasing to make the provision is not a viable option.

As noted above, an Ofsted inspection pointed to the need for strengthening the administration and management of this service and that has now been achieved. Consequently any reduction in staffing or range of services would again bring adverse comment and a limiting perspective to the rating of the department and the authority.

In 2004 through a review of the adoption service, consideration was given to outsourcing the service completely. It needs to be kept in mind that the Local Authority is required to provide an adoption service either directly or in conjunction with another adoption agency or agencies. Market testing was done but the overall costs were significantly greater than the current costs and therefore the option was not pursued.

Adoption Services summary

Options	Impact
Staffing could be reduced to the level of 3 years ago with small savings.	The need for additional staffing was identified by Ofsted at the last 2 reviews when the service was only graded satisfactory. They noted that it would be unlikely that the agency could improve its rating without additional staff resources. Future inspections would note the reduction

	and while efforts have achieved significant improvements in service provision designated by Ofsted it is unlikely that they could be maintained with a reduction in staff.
The adoption service is one that is required statutorily to be provided either by the local authority or by an agency on their behalf, consequently, ceasing to provide the service altogether is not an available option.	Breach of statutory duty
The local authority to commission the adoption service.	Nationally, a very small number of local authorities have commissioned their adoption service but the 1 example in the region returned to direct provision 3 years ago. This authority did preliminary work on this option in 2004 and the initial response from possible providers who would have been able to absorb the current post holders into their organisation would have resulted in a significant additional annual cost with little additional service accruing.

Conclusion

The total budget for the Placement Service (excluding costs associated with commissioning) is £2,723,389. This review has identified that no savings can be achieved from the staffing costs without a significant impact upon service delivery and this potentially having a detrimental impact upon the grading of the service by Ofsted which is used to inform the overall rating of Children's Services. It is the intention of the service, in line with the Looked After Children Strategy to increase its pool of foster carers and adopters, in order to achieve this, the full complement of staff will be required to recruit, train, assess and support this additional in house provision. Therefore no savings can be achieved from staffing costs associated with the Placement Service.

The substantial part of the budget is made up of allowances payable to foster carers and other who look after children who have previously been in care. This report has argued that the most cost effective provision is that provided directly by the local authority and market testing undertaken supports that view. The authority is however seeking to maximise the benefits associated with good commissioning and contracting with the independent sector and this will be subject to a Service Delivery Option Review in 2011/12.

The fostering service is robustly looking at the current foster carer payments scheme and will undertake a review of this scheme over the coming 2 years. To reduce allowances and payments to carers would, most likely, result in an exodus of foster carers to the independent sector where rates payable are more favourable. This has been the experience of other local authorities regionally where rates of pay were low. At present Hartlepool is still able to attract and recruit new carers and compete in the open market. The review of allowances and fees will take into consideration fully any efficiencies that can be achieved, the review will be challenging and look at all possible options for service delivery to identify the most effective and efficient means to achieve the 'sufficiency duty' placed upon local authorities. At this time no savings are offered from the allowances paid to foster carers and others who look after children.

Jim Murdoch
Head of Business Unit (Resources & Specialist Services)

Subject: Service Delivery Review Options Analysis Report regarding short break care provision at Exmoor Grove Community Home.

1. Purpose of Report.

The short break care service at Exmoor Grove Community Home has been reviewed over the past few months in order to determine the needs of the service users requiring the service and how best these needs can be met in the future. The driver for the review was the reduction in demand for the service and the need to re-configure the service offered to meet current demand and to ensure that children and young people and their families receive a high quality service that improves their outcomes and enhances their quality of life.

This report summarises the findings of the review team, outlines options that have been considered and identifies a preferred option for consideration by DMT and CMT. A more detailed report of the review team is available.

The Exmoor Grove total annual budget is £592,298

2. Background.

Exmoor Grove is an eight-bedded purpose built residential unit for children and young people with a disability. It is registered with OFSTED to provide short break care provision for children and young people from the age of 5 to 18 years of age. The unit can potentially provide 56 over-night stays each week and it also provides some after school provision as well as day care at weekends and during the school holidays.

The short break care provision at Exmoor Grove has benefits for both children and carers. Children and young people have the opportunity have enjoyable experiences and to socialise with others whilst carers and siblings have the opportunity to benefit from the respite care, do tasks and spend time with family and friends. For some parents/carers, however, it is a vital resource without which they would struggle to cope with the care of their disabled child or young person, potentially leading to the child not being able to live within the family unit or within his/her own community.

There has been a reduction in demand from parents/carers for placements at Exmoor Grove over the last ten years. This is largely due to the development of a range of services in Hartlepool to support disabled children and young people and their families and parental choice regarding the support they wish to receive. However, what has made the most impact is the introduction of Direct Payments which provide families with more flexibility and choice and has allowed them to make their own decisions about how care is delivered.

The reduction in the demand for the service as well, as the changing needs of the children and young people who require a residential short break service, has led to a comprehensive review of the current provision at Exmoor Grove as well as consideration of other options for providing such a service.

3. Review process.

The review team has consisted of the Head of Business Unit, Safeguarding, Assessment and Support who has overall management responsibility for the services for disabled children in Hartlepool; the Team Manager of the children's Disability Team who also has line management of Exmoor Grove Community Home and the Unit Manager and Deputy of Exmoor Grove. One of the Commissioning Managers for children's services and a senior finance officer has also contributed to the review.

The full review team has met on one occasion to discuss the options with the Assistant Director of Safeguarding and Targeted Services, however, other meetings have taken place on a regular basis to identify tasks that needed to be undertaken and to review progress.

Issues the review team needed to consider were:

- The profile of children currently using Exmoor Grove
- The 'mix' of the children who require the service and their specific needs.
- The profile of the staff team.
- Consultation with parents/carers.
- Commissioning options as an alternative to the short break care being provided by Exmoor Grove Community Home.

After consideration of these issues the overall task of the review team was develop a model of care to deliver short break care to children and young people with disabilities and their families.

4. Option Analysis.

The sale of and permanent closure of Exmoor Grove.

From a commissioning perspective the business case for the sale and permanent closure of Exmoor Grove was found to be weak for the following reasons:

- The current market conditions and repair of the building are not conducive to a sale and any buyer would be restricted as to how they could develop the building.

- The costs of providing an ongoing service to the small number of vulnerable , children who require it cannot be fully offset against any savings generated by the de-commissioning of this resource. Although this may be less outlay than in-house provision, there would be a loss of flexibility and the ability to respond to families who are in crisis at a particular time. Also it would mean some families having to travel out of town for a service and the level of service delivered may need to be considerably reduced. Furthermore, a service may not always be available depending on local demand and families may be placed under some considerable pressure waiting for short break care provision. Ultimately, this could lead to an increase in the breakdown of family placements and children and young people having to come into long term provision. The most important issue to be taken into consideration would be the quality of service provided and the loss of control in ensuring that only high quality and effective services are provided to children and young people with a disability.

The external commissioning of this resource.

The outsourcing of provision of residential short break care was evaluated by considering the advantages and disadvantages of pursuing this option. It was concluded that there was a business case to be developed regarding this option, however, it was felt the following factors should mitigate against pursuing this:

- There has been no supplier engagement previously undertaken. This means that the market dynamics are not yet fully understood. Any external commissioning project would need time and resource to scope this before entering into the procurement phase of the project. This would go beyond the timeframe of the SDO.
- There are a very limited number of suppliers who could provide the specialist nature of this work. Moreover, it is likely that these suppliers will be uncomfortable in taking on the existing staff base under the TUPE regulations. They may feel that this will artificially inflate their wage bill.
- Externally outsourcing this service does not alter the fact that demand for the service is falling. This may dissuade interested parties.
- Any external outsourcing is at odds with central Government policy in relation to personalisation and direct payments.

Run the existing resource in partnership with the Primary Care Trust

The advantages of partnership working with the Primary Care Trust are likely to offer savings in the long term. The creation of a resource with an increased skill base could provide an option to better meet the needs of the service users and the added value of this option could lead to new innovative ways of working. Although there are merits in this

proposal, the creation of a multi-disciplined partnership does not address the current issue of the over resourced unit.

This proposal was previously examined in detail in 2005 and was scoped to a very advanced stage. The project stalled because the Primary Care Trust could not commit the finances needed to sustain the project. Given subsequent public sector cutbacks and the need to generate cashable savings neither party can afford this option at present.

This option is not financially viable.

Maintain the building and re-configure the service.

This option would mean that the Council would retain the building but the services provided from these premises would be re-configured to reflect demand. It has been proposed that Exmoor Grove be developed as a short break care unit for children and young people with mild to moderate challenging behaviour.

Existing children accessing Exmoor Grove would be re-directed to other areas of provision. Exploratory talks are underway with one of the Council's strategic partners on varying existing contractual arrangements to cover the future provision of short break care. Individual packages and a "menu of alternatives" would be negotiated for children and young people with complex physical disabilities based on their specific needs and wants. This would fit with the Government's personalisation agenda.

The reality is that there is a higher demand for short break care for children and young people with mild to moderate challenging behaviour. Reconfiguring the purpose of the building would be a timely strategy in responding to this shift in demand. Moreover, this demand is regional and the creation of a resource for children and young people with mild to moderate challenging behaviour could generate future income by selling places to neighbouring authorities. As part of the reconfiguration of the service, further savings could be generated by the introduction of "annualised hours" for staff – instead of a standard working week the number of hours is averaged over the year. This would involve consultation with the Trade Unions and Human Resources.

Conclusion of option analysis.

The above outlines some preliminary option analysis from a commissioning perspective regarding the future use of Exmoor Grove. Strategically this favours the reconfiguration of services to provide short break care for children and young people with mild to moderate challenging behaviour.

5. Financial implications of the proposal.

Reshaping Exmoor Grove both in respect of the service delivered and the staff team results in an overall reduction in costs of £66,006. It has not been possible to make a more

significant reduction due to needs of the children and young people likely to be using the service at Exmoor Grove. A high resident/staff ratio is required for children and young people with challenging behaviour and there are several young people who require support at times on a 2:1 basis in order to prevent themselves, other residents and staff being injured.

There has been a substantial increase in the cost of Direct Payment packages over 2009 – 2010 totalling £81,000. The cost of direct payments has further increased in 2010/11 and the predicated year end outturn at the end of quarter one was an overspend of £38,000. For this reason, and the fact that at least one child currently attending Exmoor Grove is likely to require short break overnight provision from an external provider, it is recommended that a proportion of the £66,000 is not offered as a saving but used to offset these additional expenses.

6. Implications for the staff at Exmoor Grove.

The implication for staff regarding the preferred option would be losing one Deputy Manager post (37 hours per week) and losing 76 Residential Social Care Officers hours. However, Waking Nights Officers will increase from 58 hours to 96 hours. The remaining deputy manager's post would be on the basis of working on the rota for 18 hours and completing management and admin tasks for the remaining 18 hours. The overall implication would be:

- two residential social care posts being deleted from the establishment posts (1 20 hour post and one 23.75 hour post)
- One Deputy Manager post being deleted (37 hours per week)
- three residential care officers reducing their hours from 37 to either a 24 or 18 hours post.
- One 30 hour residential care officers post reducing to either a 24 or 18 hours post.
- Dedicated waking nights officers posts would save the 15% enhanced rate currently being paid to day staff to work during the night.

It is felt that unless the team is reshaped in this way there will continue to be a surplus of hours and lack of flexibility to ensure that staff are available when needed.

7. Risk analysis of the preferred option.

There may be an increase in demand for placements in the future which would result in a shortfall in the resource in terms of staffing and general capacity. It is not anticipated that

there would be an increased demand, however, the physical environment of Exmoor Grove can take additional children and young people if required and there would need to be adjustments in the staff team. However, it is felt that the model proposed does have some flexibility to meet either the changing needs of the service user group or numbers requiring the service.

There may be also a risk regarding the skills of the current staff team to care for children with challenging behaviour. However, all staff are currently trained in "Team Teach" and additional training is already taking place and further training as a staff team to take place in September.

8. Summary.

The review has concluded that for a small number of children and young people Exmoor Grove Community Home provides an invaluable service which prevents family breakdown and enables children to stay with their families and in their own communities. The review has considered a range of options and concluded that there is little alternative provision in Hartlepool for children and young people with mild to moderate challenging behaviour and that the needs of these children and young people are best met in a specialist provision with a staff team specifically trained to deliver a high quality service.

The Exmoor Grove budget was calculated at budget build to be £592,298 if the option to reconfigure the service as proposed is accepted then a saving of £66,006 would be realised. This represents a percentage saving of 11.1% against the total budget.

Service Delivery Options Resource Services

This report needs to be considered in the context of an already identified need for the development of this service including rationalisation and setting of efficiency targets, if it is properly to support the delivery of social work services to the most vulnerable children and young people resident within Hartlepool.

In recognition of this a Principal Resources Manager has been appointed, alongside the reconfiguration of the Social Work field teams, which separates Initial Response from the Specialist and Safeguarding Teams, Settled Care Team and Leaving Care. This post was funded by internal savings made within the service 2009/10.

There has also been a reconfiguration of the two business units within this division to a commissioning model and the resource services are now placed within the “provider” grouping.

The service is targeted and sits within tiers 3 and 4 of the continuum of services provided to children, young people and their families in Hartlepool, as opposed to universal services delivered at tiers 1 and 2. Families receiving targeted services have access to or will have accessed services delivered via Hartlepool Parenting Strategy.

The total staffing budget for the Resource Team is £905,989. The team do not have any other budget other than that associated with cost of premises which will be reviewed through the Assets work stream.

History of Provision and Best Value Review (2005)

The model that has applied to date for the resource services largely saw an alliance between specific social work teams and groups of resource staff coterminous with either the geographic area of the field team or collocation of office base. Each group of resource staff was therefore endeavouring to support social work teams across a wide range of functions. Two exceptions to this model were, firstly, the group of resource staff based at the Star Centre who, it was anticipated, would largely focus on supporting the placements of Looked After Children either with foster carers or within educational provision. The second group were staff recruited to promote the social inclusion of children and young people with disabilities and to support their parents and/or carers in so doing.

This led to some disparity of service provision and management and development of the service had not been robust because of the competing demands upon Social Work Team Managers.

The Best Value Review of Services which took place in 2005 recognised that the service originally conceived in 1997 needed to be refocused. The changes made in 1997 were consequent at that time upon the decision to close the Borough's residential facilities and to withdraw from the direct provision of day care services. This was to allow for the development of preventive services

both to avoid family crisis and prevent child protection situations deteriorating to the point the child or young person needed to enter public care. It was envisaged that providing outreach support to families in their homes and the communities in which they live would best achieve this outcome.

The Best Value Review identified the drivers for service as being those identified by the legislative base in which social work services are delivered. Additional drivers being the development of Sure Start, Children's Centres and Extended Schools initiatives targeted towards socially excluded families as encapsulated within "Reaching Out - Social Inclusion Task Force Action Plan" published in 2006, the development of Children's Trusts and the establishment of a Hartlepool Borough Council Children's Services Department. This latter development has been superseded by local reconfiguration which has established a Child & Adult Services Department. Think Families published 2009 also guides the development of preventative services.

Implementation of the recommendations of the Best Value Review was impeded by the lack of capacity within the establishment to manage and drive forward change. The creation of the new Principal Resource Manager post offers the opportunity to ensure that the service in the future develops a form that fits function rather than an adaptive process as has been the model to date.

Service Delivery

The resource services have historically engaged in a range of activities to support social work services in meeting their statutory requirements:

- Parenting assessments to contribute towards core assessments at Children in Need/Children in Need of Protection level as well as for children and their families involved in public and private law proceedings. There is a need to develop more intensive time limited assessments with a view to preventing children becoming looked after or to facilitate their discharge from such care and this aspect of service delivery is considered later in this report.
- Preparation of reports for court, both private and public law, conferences and Looked After Children reviews.
- Practical assistance to families to improve and maintain adequate home conditions at both tier 3 and 4 of service provision.
- Supervision and monitoring of contact for children who are unable to live at home and for whom unsupervised contact would constitute an element of risk. In some instances an educative and promotional role of parenting skills has been requested within the context of contact arrangements. There are significant demands in relation to this activity which are considered at a later stage in this report.

- Supporting children and young people looked after who are not in education; this provision being largely where such individuals have been made subject to fixed term exclusion or are pending allocation of a school. Whilst staff are not qualified as teachers, it is expected that the individual's school will provide learning material to be utilised during the period of exclusion. This work is carried out in close conjunction with our colleagues in Education Services, particularly officers concerned with school inclusion.
- Supporting the foster care placements of looked after children (LAC) and young people by provision of individual time with the young person and work around self esteem, anger management and associated issues. It is recognised that there is the availability of provision for such work within universal services however this is not targeted towards the specific needs of looked after children and young people. The needs of this group are similar to those of Young Carers where it is acknowledged that they require a service that is specific to their experiences. LAC experiences are not the same as the dislocation experienced in situations such as marital breakdown. This cohort comes with additional needs produced by poor parenting and experiences of rejection and loss. They enter care already disadvantaged emotionally and educationally by these experiences.
- Individual support to children and young people looked after to participate in their care planning and reviews via use of such tools as Viewpoint. Reviews are held after 1 month, 3 months and then no less frequently than 6 monthly. Such participation in planning and review is a performance indicator for all children and young people looked after over 4 years of age. Currently there is a cohort of 150+ such children.
- Group work for children and young people looked after to promote their life and social skills as well as facilitating their participation in service delivery.
- Individual work with children in need and children in need of protection and with their carers to promote stable family relationships and prevent breakdown of home placements and/or involvement in anti social behaviour in the community.
- Individual input to promote the social inclusion of children with disabilities and to support their parents or carers. This activity is seen to be subject to declining demand and is considered at a later stage in this report.
- Transport of children and young people to school, medical appointments, to and from contact and to and from day care provision for younger children.
- Life Story/Life Appreciation work primarily focussed towards preparing children for adoptive placements, though some work is undertaken in

relation to looked after children in long term foster care who as they mature benefit emotionally from the opportunity to reflect upon their personal histories.

- Support to the Family Placement Team in relation to foster care support groups, for example a support group for children of foster carers.
- Administration of the sponsored day care budget, including the establishment of places and reviews.

Building Management and Accommodation

The resource services are currently spread across 4 bases (reduced from 5 with the closure of Murray Street Resource Centre in 2005):-

Somersby Close is located on Hartlepool's Central Estate. The accommodation is derived from converted housing stock. The building was shared with a local housing office but latterly that part of the building has been mothballed. The space available is on two floors and there is a playroom and smaller rooms available for contact and family work as well as office space for staff with computer linkages to the Local Authority main server. The overall consensus is that this building is surplus to requirements. It has limited disability access and it has already been agreed that the staff team will relocate from these premises as part of the developments of the resource services. There will be some revenue savings (£16,735 - premises is budgeted for in 09/10 along with £6,254 for supplies and services) to be achieved by the relocation of this staff group, however it will not be a significant contribution towards savings given there will be costs to be accounted for in the first instance i.e. DSO contracts re cleaning to be renegotiated. In any event savings will accrue to the asset management business transformation work stream. The planning for the closure of this building is now well advanced and it is anticipated that the closure will occur in August 2010.

Grange Resource Centre was purpose built as part of the Early Years Centre and is adjacent to Grange Primary School on the Owton Manor Estate. It provides an office base for 8 staff and has facilities for family and group work as well as an enclosed play area. Space is limited but the building is modern and accessible to those with disabilities and is easily reached by use of public transport. It is proposed that some internal building work is carried out to enable the co location of staff currently based at Station Lane, given the proposal to close that building.

The Star Centre currently provides an office base for 9 staff most of whose work is targeted towards placement support of children looked after, group work and participation work. The building has a variety of facilities; on the ground floor this includes 1 fully equipped kitchen area, a smaller kitchen area with most facilities in place, 2 rooms to be made available though not exclusively for therapeutic work, 2 – 3 rooms available for contact, family

assessment work, group work (including foster carer support) as well as a classroom/computer room. It also has an enclosed play area somewhat larger than that available at Grange. The ground floor is fully accessible. There are additionally some larger rooms on the upper floor that could be utilised for group/family work and meetings though these rooms would not be fully accessible to any individual with mobility issues. As stated above the plan for the transfer of staff from Somersby Close is now well advanced. Progress has also been made in setting up a family assessment room on the first floor and work is ongoing to upgrade other rooms to further extend the range of their usage.

Station Lane provides an office base for 6 community support workers the majority of their work is currently with young people over 11 and defined as children in need. Input takes place at the young person's home, venues in the community and/or at the Star Centre. Relocation of this staff group is a future possibility as discussed earlier in the section relating to the Grange Resource centre.

Other Accommodation/Resources.

Exmoor Grove – subject to a separate SDO review – on an interim basis this facility is available for use by resource (and social work) staff 2 days a week term time only. Whilst this is an excellent facility for family work the limitations on access to two days a week, term time only means its application for family work is limited.

Sure Start Children's Centres and Extended School – As part of the service development plan, discussions are taking place with the relevant managers of these services to look at utilising these facilities for resource service provision in particular as contact venues. Issues to be addressed are around confidentiality for the parent/child and the availability of rooms on a consistent basis i.e. that bookings are guaranteed. Consistency, for example in the availability of the same room, is particularly important to provide continuity for children and young people who are likely to be experiencing emotional anxiety given their particular circumstances as looked after children. Risk assessment of families which include "an individual deemed to present a risk to vulnerable individuals", previously referred to as Schedule 1 offenders, and the acceptability of those persons presence in a Children's Centre would also need to be considered. Revenue recharge costs re room hire and/or hospitality is an additional area to be explored.

Further opportunities to utilise community based facilities may lie within premises owned or leased by the voluntary sector.

Current Staffing Structures.

As at January 2010 there were 37 members of staff across the 4 locations, which equated to 963 hours or 26 full time equivalent posts. As at end of April 2010 the establishment of the service has been reduced by 2 full time equivalent posts to support an increase in the social work establishment. At

31 July 2010 a further 3 posts were vacant with a further post becoming vacant during August; these posts are considered in the Option delivery section. It should be noted that student hours already represent 125 hours of the service overall. Staff work variable hours with most working twenty hours or more. Two members of staff have recently qualified as social workers. 2 members of staff are part way through their courses and 1 member of staff is to embark on training in the autumn of 2010. A further 4 members of staff are currently undertaking NVQ courses as part of their professional development.

It is anticipated that none of the members of staff undertaking social work training will return to take up duties within the resource service; rather they will be appointed into the social work field teams. As stated 2 members of staff have completed their courses have been appointed to social work posts in Hartlepool. A third member of staff has been self funded and is not therefore tied to Hartlepool; it is not clear at this stage if this member of staff will return to their substantive post. One further member of staff is due to complete the social work degree in 2011, with the remaining staff member completing in July 2012. This system of "grow your own" social workers has proved effective in recent years and there are 9 social workers/personal advisors currently employed who have been developed through this process.

Review of type of work undertaken currently

An evaluation of work carried out week commencing 4th January 2010 suggests that at least one third of staff hours were committed to contact work, including transport to and from venues. This work was largely concerned with children under 11 years whose circumstances are being considered within the context of ongoing legal proceedings. This generally means that the frequency, duration and level of supervision required of contact have been agreed or directed by the court. The input of staff hours is largely derived from the staff groups based at the two family resource centres Grange and Somersby and utilises the equivalent of 9.6 fulltime posts i.e. 365+ hours per week. Since completion of this snapshot in January an additional 28 hours of contact per week between a mother and newborn has been court directed thus increasing the proportion of staff time devoted to contact. In the same period changes to contact arrangements in ongoing cases has seen a reduction of 8 hrs per week, which still represents a 20 hour increase in demand. The service is also aware of the pending birth of another child for whom contact will need to be supervised and such contact will also inform the process of assessment.

On a regional basis, work is being undertaken under the auspices of the Regional Improvement and Efficiency Partnership to review the demand for and delivery of contact between children looked after and their parents. The outcome of this work will inform the future development of the service. At a local level, the initiation of a Placement and Resources Panel is having some impact on decisions around the need for full supervision and the numbers of staff required to supervise. A review mechanism to be implemented will ensure that levels of supervision are reduced when appropriate. The possibility of involving foster carers (and their homes) more robustly in the

arrangements for contact is being pursued thus reducing the travel requirements for children and reducing the stress related to contact being held in a centre of whatever type.

If risk assessments demonstrate that contact in the foster carer's home is inappropriate we are examining the option of carers being involved in the transporting and supervision of contact alongside resource staff. The use of sessional and volunteer staff is being actively pursued and the options section contains a proposal to retain a budget of £15K to fund this development.

It is not currently possible accurately to calculate the impact of this emphasis towards contact work on an annual basis since the effective data collection of this management information has just commenced. Hartlepool in common with most Local Authorities has seen a sharp increase in the number of care proceedings being initiated. This has impacted significantly on capacity within the social work and resource services. It should also be noted that work is underway with neighbouring authorities in the Tees Valley and Darlington in relation to contact pressures with a view to dialogue with CAFCASS and the Judiciary.

The emphasis on contact has had additional impact on the capacity of staff to undertake intensive parenting assessment work in relation to children who may be on the edge of care because of parental difficulties, as contrasted to assessing the capacity to learn and change for those parents whose children have already been removed from their care. It has also impacted upon the capacity of the staff group to work on an individual basis with younger children.

The welcome development of a range of parenting programmes delivered by preventative services and the third sector as encapsulated within Hartlepool's Parenting Strategy have increased the range of learning programmes available to families, examples of such programmes are Strengthening Families and Triple P. However these programmes do not fulfil the requirements for assessments to be presented in child protection and or court arenas, where it is expected that assessments are tailored to the particular problems of a specific family. This work therefore does not replace but rather support the social work task.

The issue of variable contracts also needs to be addressed in that, if the service is to offer intensive parenting programmes then staff need to be available to work with families at the point of need, including mornings, evenings and weekends. There is a recognition of the need for these changes amongst the staff group and the response is generally positive.

With regard to the staff groups currently established under the headings 'community support' and 'placement support' it is evident that much of this work was long term i.e. had been ongoing for longer than three months and in some instances for longer than one year however the focus of the work was not always clear. A review of the workload is underway and this group of staff have begun to see a change in their work load; becoming increasingly

involved in contact and life story work as well as piloting of intensive support packages. The response to this has again been generally positive.

Hartlepool is statistically performing in the top quartile nationally in relation to national performance indicator N1 62; number of placement moves. This improving performance is in part attributed to robust monitoring whereby children with two or more placements are presented to the Placements and Resources Panel for consideration and a package of support is put in place to support the child, young person and his/her carers. Performance indicator N1 63 which relates to length of placement as one aspect of contributing to a child or young person's sense of security has also seen a gradual improvement in performance, though it remains an area for further improvement. (Information from report of Director of Child and Adult Services, subject Hartlepool Children Looked After Strategy pages 2 + 3).

With regard to those members of staff currently working with children with disabilities, the introduction of direct payment packages has resulted in their role in relation to social inclusion reducing. Aiming High for disabled children, a government grant to increase short break care for children with disabilities, has also impacted on this service. These staff are based at Grange resource centre and their future role within this area of work needs to be reviewed. Absorbing this staff group into the overall cohort maintains the services' capacity to respond appropriately to the needs of children with disabilities and it should be noted that this staff group have developed skills through training and experience in this area of work.

Finally, it should be noted that a number of staff hours are required to support NVQ training, mandatory or desirable attendance at training and recording work undertaken.

In an initial effort to understand and manage the demands being made on the service, requests for service from the resources service are largely filtered through a weekly panel. This panel commenced operation in February of 2010. Reviews of pre existing pieces of work is underway. The panel has taken a robust stance in relation to the commissioning of resource staff and delineating the boundaries of role between that of social workers and social care officers – the latter being the proposed title for staff within the newly configured service.

Evaluation of services from commissioners/service users.

An identified area for improvement is the development of a mechanism to generate effective evaluation and feedback in relation to the delivery of resource services from both service users and commissioning social workers. A service satisfaction letter is sent on case closure, however, this relates to the overall service.

Young people who are involved in participation work and group work are asked to evaluate the services they receive and the feedback is generally

positive and contributes towards service planning at both macro and micro levels.

Service user consultation and contribution towards service delivery is thus a key factor to be addressed, similarly consultation with commissioning social work staff and resource staff will be an equally important element of the redevelopment of the services, alongside the involvement of Trade Unions and Human Resources.

Future service options

For the purposes of this report specific areas of commissioned service have been considered in terms of service delivery options and clearly indicate that the tasks identified have a statutory basis and that to withdraw from the provision of such services would leave the department open to legal challenge and or have a deleterious impact on best outcomes for vulnerable children

Contact

Option	Impact
Continue to provide contact service as at present.	Status quo to remain whilst examination is made of alternative models of delivering contact services. Internal review of what needs to be supervised is ongoing and foster carers are becoming more involved in transport to and from contacts. Direct participation of foster carers in contact requires further development. The level of social work involvement in contact has been agreed at a minimum level of monthly participation and a format to improve consistency of recording has been developed. Supervision of contact needs to contribute to assessment work. Resources panel set up 1 st February 2010 is providing more robust reviews of contact arrangements
Ceasing	The Local Authority has a statutory duty under the children Act 1989 to promote and facilitate contact between looked after children and their families – cessation would lead to legal challenge. Over 60% of current contacts are in relation to cases within court proceedings with the remainder being agreed as part of long term care planning.

Reducing	<p>The withdrawal of resource staff from this provision would severely and detrimentally impact on front line social work staff and their capacity to manage their caseloads. Supervision of contact requires some basic knowledge of child development and parental interactions and an effective and consistent method of recording such observations. It is inherently good practice that social workers observe some contact to directly inform their analysis particularly in public law proceedings. If however social work staff were expected to undertake all such contact there would be a significant reduction in social work hours to devote to front line case work and potential to lead to a need to increase the social work establishment with significantly higher costs to be met. It may be possible to reduce the input of resource workers over time by developing the use of sessional workers or a volunteer system which will more cost effective.</p>
Commissioning	<p>Two neighbouring authorities have withdrawn from external commissioning of services which is highly suggestive of not being either cost effective or responsive to service needs. Middlesbrough Borough Council for example could not achieve value for money through commissioning a contact service and have redirected funding to redeveloping an internal service. Middlesbrough has developed a contact service delivered by sessional workers and three full time resource staff managed by a contact coordinator. The sessional rate of pay is £8.01 Reach Out Care, based in Newton Aycliffe which provides contact services in the region, charges £17 per person per hour and additional costs in relation to venues and report writing which contrasts poorly with Hartlepool's hourly rate of £13.33 based on a band 8 worker and even more poorly when contrasted with a sessional worker paid in the region of £8 per hour.</p>
Savings	None identified.

Support to children and young people looked after excluded from school and or at risk of placement breakdown.

Service	Impact
Continue to provide service as at present	Status quo to be maintained though evaluation of effectiveness of current work is to be undertaken. Targeted and time limited approaches may allow for more significant impact than currently in place and allow staff to serve a greater cohort. Work also needs to be undertaken to widen the focus of this staff group to support our younger cohort of Looked After Children.
Ceasing	Statutory duty to support children and young people in these circumstances. Ceasing service will result in reduction in achieving performance indicator targets and poor inspection outcomes.
Reducing.	As with ceasing though there may be some options for involving children and young people in less targeted projects in which they are guaranteed priority which may nonetheless address issues in relation to self esteem and emotional literacy as well as improving access to social and leisure activities alongside their peers.
Commissioning	There are currently 6 pilot projects operating nationally in relation to Social Work Practices and Hartlepool is a comparator in this project. Evaluation of these projects due 2013. It would seem logical to wait for the outcome of these national pilots rather than to invest resources in embarking on a commissioning process for outsourcing the needs of Looked After Children to a body not necessarily acceptable to central government and or inspection regulators in the longer term.
Savings	None identified at this time

Support to Looked After Children and Young People over 4 years of age to participate in their Looked After review

Option	Impact
Continue to provide service as at present	The participation of Looked After Children over 4 years of age in their care planning and reviews is part of the annual statutory data return and is highlighted in Care Matters as a key objective for Local Authorities. Resource staff provide support to young people in completing their consultation prior to their review using their preferred mechanism for recording their views.
Ceasing	The participation of Looked After Children in their reviews is part of the statutory annual return for social care. Failure to deliver high levels of participation is contradictory with the aim set out in Hartlepool's Children and Young People's Plan and looked after children strategy and could lead to deterioration in performance and affect the rating ascribed to this authority nationally.
Reducing	A strategic decision would need to be made in relation to the involvement of resource staff in this aspect of service delivery with the caveats re independence as identified above.
Commissioning	Social work practices, if established, will be likely to take over this responsibility in the longer term.
Savings	None identified

Preparation of Life story Books

Option	Impact
Continue to provide service as at present	<p>Life story books are required for children for whom a substitute family has been identified as a permanence option. It is a matter of good practice that they should be available for the child on placement but are seen as essential at the point of an adoption order being granted.</p> <p>It is arguable that such work should be undertaken by social work staff given the skills required to take the child through their life journey and circumstances leading to permanency outside their birth families. However of the 14 pieces of work currently pending only 3 of the children have the verbal and developmental skills required to fully participate in reflective work around their histories. 7 of the children are under two years of age and a further 4 have already moved to permanent placements. In essence resource workers compile pictorial records of life events for the child with a narrative thread which is overseen by the commissioning social worker.</p>
Ceasing	The withdrawal of resource staff from this area of work would not reduce the requirement for the preparation of such books. The pressure would be placed back with social work staff, reducing their availability to undertake other duties, raising the potential for an increase in social work establishment at significantly higher cost.
Reducing	As above
Commissioning	Whilst this aspect can be investigated it is felt likely that to commission such a service from an external source would prove cost inefficient. Social work practices as mentioned earlier, if established, will be likely to take over this responsibility in the longer term. In summary this service is not currently available within the independent sector.
Savings	None identified

Social Inclusion of children with disabilities and support to their parents

Option	Impact
Continue to provide service as at present	Within the children with disabilities service the growing impact of direct payments is reducing the requirement to be direct providers of this service. Direct payments by their nature increase the capacity of families with children and young people with disabilities to purchase services from providers other than the Local Authority. This is in effect likely to allow the redistribution of these staff hours to meet other areas of pressures.
Ceasing	The entire withdrawal of the Local Authority from provision around social inclusion would place it in contravention of Section 7 guidance from 1989 Children Act and breach of duty under the LASS Act 1970. Social inclusion is a key feature of Hartlepool's Children and Young People's Plan.
Reducing	As stated this aspect of resource services is seeing a decline in demand and it is intended that the current staff hours will be utilised across the wider range of services provided by the service. These staff are currently undertaking work against the vacant post within the team and savings will be achieved from deleting those posts where there are no associated redundancy costs. It is also appropriate that this staff group's skills and training is retained for the provision of services to children with disabilities where requested and the work they undertake in conjunction with colleagues in the NHS Learning disabilities Team around behaviour management.
Commissioning	Direct Payments are effectively allowing commissioning by parents
Savings	Potential savings identified but offset against vacant posts which will be deleted.

Parenting Assessments

Option	Impact
Continue to provide service as at present	This aspect of work is generally commissioned in relation to families where children and young people are in need of protection plans and/or are potentially on the edge of care. This is a key area for service development in which it is planned that more intensive pieces of work are undertaken to inform and support social work decision making around parental capacity to make and maintain such changes as are necessary to improve the outcomes for their children. It would allow for better informed decision making and ensure where possible that children remain in the birth or extended families or that the transition to substitute care is progressed in expeditious timescales. The team is about to pilot three pieces of intensive time limited assessments which will contribute to decision making about the future of 6 children. In one instance this involves setting up a team around the family who will work practically with families for 4+ hours daily, initially Monday to Friday. This model of input should address previous shortcomings in relation to assessments largely based on self reporting.
Ceasing	For resource staff to withdraw from this area of work would leave social work staff unsupported in this aspect of their work, with a potential to require an increase in the social work establishment and/or to open the authority to judicial challenge in its preparation of cases in care proceedings.
Reducing	To reduce the level of involvement of resource staff in such assessments would have similar impacts to that of ceasing provision. Local authorities are under continuing pressure to produce detailed and timely assessments in relation to children both on the edge of care and children involved in public law proceedings.

Commissioning	It is a possibility that assessments could be commissioned within the private sector however it is likely that the costs of such assessments would be prohibitively expensive. Residential assessments commissioned within the last three years have cost in the region of £30,000 + for a 12 week assessment. Recent history (08/09) suggests that some 10 court based assessment have been commissioned leaving aside those commissioned in respect of children in need/of protection.
Savings	None identified

Savings from staffing costs

The option analysis above has identified that the services currently undertaken by the Resource Team are essential either because they are statutory requirements or support the social work task. To cease or reduce the work of the team would have an impact upon the capacity of social workers to fulfil their statutory responsibility and may require an increase in the establishment of social workers which are more costly than resource workers. Resource workers can undertake some specialist work that supports the social work task and is a cost effective model of service delivery.

Savings in this area of service delivery can only realistically be made by a reduction in the number of staffing hours. The service has already seen its staffing budget reduced to fund the creation of 2 social work posts in the division. This reduction does not imply that the demands of the service have reduced it rather reflects recognition of the shortfall in social work hours that existed alongside an increase in demand for services for children in need including those in need of protection. This reduction of staff hours has impacted on the capacity of the resource service to make further significant contributions to Business Transformation savings.

Option 1 – Deleting current vacant posts and realising savings

Option 1 identifies the maximum savings that could be realised from deleting existing posts and continuing to provide the same type of service with a significantly reduced staff team. It also sees the current managers posts (under previous structure) maintained at Band 12.

The total annual savings if this option is agreed would be £140, 116 from the following posts:

- 2 x 37 hour post vacant, post holders having taken up a field work post

- 1 x 20 hour post vacant, post holder having moved to take up a social work post.
- 2x 37 hour post currently vacant
- 1x 20 hour post currently vacant

The development of weekend working could not be progressed under this option given the additional 5% required is not fully built into the current budget.

The risks inherent in such a step would:

- Place significant restrictions on the capacity of the service to innovate and change particularly in relation to intensive time limited assessment work. It is anticipated that a staff team of six (minimum) will be required for each piece of work undertaken to ensure capacity is built in to allow for staff down time, holidays, sickness and variable visiting patterns. The reduction in staff hours as envisaged in Option 1 is not conducive to the development of this service and is not providing the best possible service to the most vulnerable children of Hartlepool.
- Reduce the capacity of the division to support further student placements thus losing a well tested mechanism of producing our own social work staff.
- Unless efficiencies can be made across the range of tasks undertaken backward pressure will be placed on Social Work qualified staff.
- Recruitment of staff may be impeded by a lack of capacity for career progression.
- Capacity to promote NVQ training would be impeded.
- Vacancy abatements and staff leave including maternity leave and sickness already impacts on the capacity of the staff group to fulfil its tasks, particularly given the issues outlined earlier in relation to competing demands and this would be exacerbated with this option.
- Further reduction in the capacity of the service to complete commissioned work in the relevant timescales. For example there are 14 individual children who require the preparation of life story books to take with them into permanent substitute placements.

If this option is taken the development of the service would require difficult and competing decisions to be made around the delivery of services by resource staff. It is problematic to identify any tasks that the local authority can completely withdraw from since all of them relate to the statutory responsibilities. The development of the service should see support staff

provide an internal efficient resource to complete pieces of work in conjunction with social workers and their managers. Social Workers are relatively scarce and an expensive resource. It is as outlined in this report possible to delineate work within the overall planning that can be undertaken by less skilled staff (NVQ4)

Option 2 reduce staffing hours and deliver service more flexibly

Option 2 would also be to reduce staffing hours in the same way as detailed in option 1 but use some of the funding released to develop the service to be more flexible in the way it is delivered

The annual savings generated by this option would be £113,840.

A proportion of the budget released from vacant hours in this option would see both manager posts (from the old structure) made up to Band 13, Principal Practitioners as well as the use of £15,000 to create funding for a pool of sessional workers.

The main advantage of Option 2 would be the availability of sessional staff to supplement the core staffing at points of high demand as well as allowing social care officers to concentrate their efforts on the key areas of service delivery as identified earlier in this report for example in relation to intensive assessment work both to prevent reception into care or to facilitate the discharge of children and young people from care and the support of looked after children.

The business case for the increase from Band 12 to Band 13 recognises numbers of staff in the service (37) and the demands associated with supervision and appraisal, training, delivery of intensive assessment work as well as the need to manage and organise contact and the day care budget commissioning sponsored day care as part of family support plans. With regard to the latter this will lead to a significant improvement in the effectiveness of contracting between the local authority and service providers in the private sector. Placements would be reviewed and managed more effectively ensuring that arrangements are not left to drift compromising Best Value principles.

Option 3 Service Reconfiguration

Option 3 builds upon Option 2 and uses additional funding to transform the service to deliver a high quality support service to children, young people and their families at times when families need support and at a level of intensity as is required to meet individual circumstances.

The annual savings generated by this option would be £71,463.

The significant difference to Option 2 is that this option also sees the gradual introduction of weekend working by a larger group of staff which would

enhance the capacity of the service to offer contact and intensive assessment work on a seven day basis. This will also ensure that services are responsive to the needs of children and their families rather than being structured around traditional working hours with no provision or support being available over the weekends and evenings, generally a greater time of stress for families. This is not necessarily to say that contact should be offered daily but that the spread of contacts is more even across 7 days and this will also benefit placement stability for children looked after. There is also the prospect of being able to deliver group work to the younger cohort of looked after children which would benefit the authority in meeting its aim for increased participation amongst this age group.

Preferred Option and Savings Achieved

It is proposed that Option 3 represents the most effective means of developing the service whilst still offering savings in the first instance. The Resource Services budget was calculated at budget build to be £905,989 if Option 3 is accepted then the overall budget would reduce to £834,526 representing a percentage saving of 7.8% against the total budget.

5.3 Appendix 10

Extract from report to Portfolio Holder May 2010

Activity in Safeguarding and Specialist Services

- 2.3 The last report to the portfolio holder received on 1 December 2009 reporting on safeguarding activity in the second quarter of 2009/10 noted that there were 847 children in the town receiving a service from children's social care. As at 31 March 2010, exactly the same number, 847 children, were receiving a service, however the make up of the group has noticeably changed. The breakdown of children receiving a service (with 30/09/09 date in brackets for comparison purposes) is as follows:
- Children in need 537 (577)
 - Children subject to a protection plan 136 (110)
 - Children looked after 174 (160)
- 2.4 This data shows that there is an increase in the numbers of children who are subject to more formal interventions, i.e. subject to protection plans or being looked after and fewer children are being supported as children in need. Nationally there is an emerging picture of significant increases in children subject to protection plans and looked after and from the data it is apparent that activity in Hartlepool is in line with national trends. Throughout the report, comparisons with national data will be detailed to assist in understanding the issues as they present themselves in Hartlepool. From initial contact through to case planning, there is a pattern of increasing demand which is impacting upon the workloads of social workers.
- 2.5 The number of contacts being received by the duty team in the last six months of 2009/10 was 3907 contacts, this averages at 651 per month but across the period varied between 608 and 699. In the first 6 months of 2009/10 the average number of monthly contacts was 542 showing a 20% increase in the monthly average between the first half of the year and the second. National figures report an increase of 24.6% in the number of initial contacts in the two years between third quarters of 2007 and 2009. The current level of contact activity places a huge strain on the duty team given the number of contacts that progress to referrals and a review of the contacts needs to be undertaken to consider whether some of the work can be delivered differently. It is also worthy of note that there is simultaneously an increasing pattern of contacts for adults social care which are dealt with by the duty team.
- 2.5 The average number of contacts progressing to referrals is 12%. In the last six months, a total of 470 referrals were received by Safeguarding and Targeted Services which averages out at 78.3 per month, this is a decline on the average number of referrals in the first half of the year (91). Since October 2009, the service has had a new

structure in place which has separated the referral and assessment process from longer term interventions. There is now an Initial Response Team (IRT) that receives the referrals from the Duty Team with these being passed to one manager rather than four as per the previous arrangements. It is anticipated this should lead to greater consistency and decision making in responding to referrals to children's social care. The team managers of the IRT and Duty Team meet regularly to discuss contacts, referrals and the transfer and allocation process. This meeting also includes the Preventions Team Manager to ensure that where children are not identified as requiring a social care service, they are appropriately referred into the Team Around the School arrangements.

2.6 Following the unannounced inspection of safeguarding in November 2009, an additional social work post has been created in the Duty Team and the service is also creating an additional social worker post in the IRT from a reconfiguration of existing services.

2.7 The changes in the structure of the service seem to be having a positive impact upon the referrals by category. Each referral is coded to a set of categories required by the DCSF, these are:

- N1 – Abuse or neglect
- N2 – Child's disability
- N3 – Parental illness or disability
- N4 – Family in acute stress
- N5 – Family dysfunction
- N6 – Socially unacceptable behaviour
- N7 – Low income
- N8 – Absent parenting

2.8 In the last six months of the year, there have been much steadier trends in referral category. In line with previous reporting, categories N1, N4 and N5, continue to make up the vast majority of reasons for referrals to children's social care. However, as previously reported in December 2009, there were, on a monthly basis, dramatic rises and falls in the referral category type. In the second half of the year, there has been greater consistency in the patterns of referral type with some fluctuations but settling into a more predictable trend.

2.9 The numbers of children subject to child protection plans continues to rise as has been reported now since December 2008. During the period under review, there was an increase from 110 children at the end September 2009 to 136 children at the end of March 2010. This equates to a 23% increase. In February 2010 there were 142 children subject to protection plans but March saw a net decrease to the final outturn number for the period. In comparing the position to the same time last year, across the year as a whole there has been a 68% increase in the number of children subject to protection plans. Within the division, a piece of work is being undertaken to understand the

reasons for this increase. Early indications suggest there are a number of factors impacting upon these statistics including the internal restructure within the division, the 'Baby Peter effect' and significant changes in the numbers and type of contacts and referrals coming from key partner agencies, most notably the police and probation.

- 2.10 On a regional and national level, local authorities are reporting significant increases in numbers of children subject to protection plans some at a lower rate than has become apparent in Hartlepool but at least 28 local authorities nationally have shown an increase of more than 50%. The small size of Hartlepool means that absolute numbers are small and therefore any change in numbers can have a significant impact upon the percentages making comparisons highly volatile.
- 2.11 The table below details the breakdown of categories of concerns for children subject to protection plans as at 30 September 2009:

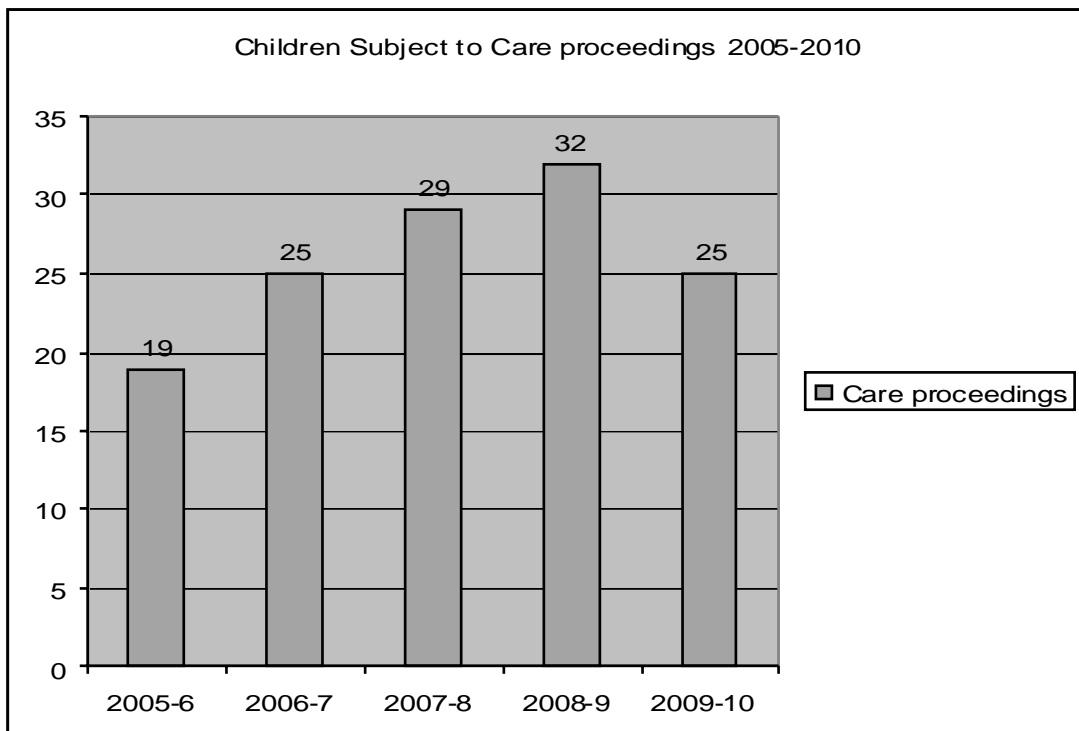
CATEGORY	NUMBER
Neglect	96
Physical Abuse	18
Emotional Abuse	3
Sexual Abuse	19

The category of neglect continues to be the main reason children become subject to protection plans (71%). This figure has remained constant across the year. In recognition of the impact of neglect on children and this being the biggest indicator of significant harm for children in the town, Hartlepool Safeguarding Children Board has agreed that in the work plan for 2010/11 it will focus on two main outcomes to 'turn the curve' and effect change for children, one of these outcomes will focus on neglect. In addition, Hartlepool LSCB is planning a local conference for multi agency safeguarding practitioners with a focus on neglect.

- 2.12 There are currently 174 children looked after by Hartlepool Council, compared to 160 in the previous report. Of these 86 children are subject to legal orders under the Children Act 1989, 14 children are subject to Placement Orders under the Adoption Act 2002 and 74 children are accommodated under Section 20 of the Children Act 1989. In addition, 21 children are receiving short break care on a regular basis as part of a family support package. The vast majority of these children are children with disabilities who access short break care services from Exmoor Grove. Over the course of the past year, this number has reduced from 27 in April 2009 this is due to an increased take up of direct payments by families giving them more control over the resources they access. In response to this, a review of the provision at Exmoor Grove has been completed and proposals will be presented to the portfolio holder in the coming months about

how this service can be reconfigured to meet the changing needs of and increase choice for children with disabilities.

- 2.13 Although not fully reflected in the looked after figures, over the last five years there has been a significant increase in the number of cases that are being dealt with through care proceedings. The table below demonstrates this rise and although a fewer number of proceedings commenced in 2009/10, it should be noted that proceedings can take between 40 and 70 weeks to conclude so a number of cases will continue into the next year. Cases before the court are sometimes adjourned without orders and the children are therefore accommodated under section 20 of the Children Act 1989. Court work is a complex area of practice requiring highly skilled and experienced professionals. It is also a very time consuming area of work not only for the social worker in terms of preparation of statements and court appearances but also in terms of facilitating contact ordered by the Court. The Council is currently committed to facilitating approximately 1,000 hours of contact per month, most of which arises from contact orders determined by the Court.



Team		Current Cases	Pending
Safeguarding Assessment Team 1	and	11 cases currently in proceedings	2 Pending
Safeguarding Assessment Team 2	and	12 cases currently in proceedings	3 Pending
Safeguarding	and	1 case in proceedings	

Assessment Team 3		
Settled Care Team	2 cases currently in proceedings	

- 2.14 Of the children looked after by Hartlepool Council, the vast majority live either inside the council boundary or within the Tees Valley region. Some children are placed in long term foster placements in the north east region and a minority of children reside in specialist residential homes or schools in other parts of the country and these placements reflect the child's needs for specialist services. The following table shows a breakdown of the placement type of children looked after by the Council.

PLACEMENT TYPE	NUMBER OF CHILDREN	%
Foster care	148	85%
Residential home/school	9	5%
Placed for adoption	10	6%
Placed with Parents	6	3%
Independent Living	1	1%
Total	174	100%

- 2.15 Over the last six months, a draft looked after children strategy has been prepared which outlines the vision for the Council and Children's Trust as corporate parents, reflects upon current services and areas of strength and identifies key strategic priorities to be delivered to improve outcomes for children looked after in Hartlepool. This document is currently out for consultation with a view to the final strategy being produced by 31 May 2010. Once finalised, this strategy will form the basis of the work of the Council and Children's Trust for the coming three years in planning and delivering high quality services to children looked after across the five Every Child Matters outcomes.

Staffing

- 2.16 The service employs a total of 124.5 staff to work with children and their families. In September, the service implemented its planned restructure with a reshaping of the fieldwork teams to separate the short term initial assessment and child protection enquiries work from the longer term intervention with children with complex and acute needs. This restructure is now embedded and staff seem positive about the value of the changes made and the benefits realised. The service is seeing a significant improvement in performance in relation to initial assessments both in terms of timeliness and quality. The restructure has however highlighted some real challenges faced by

the long term teams in terms of the mismatch between the experience of staff and the demands of the work. Due to the nature of current need as evidenced by the increasing numbers of children subject to protection plans, looked after and subject to Court proceedings there is a limited number of social workers available to undertake this work. Also, the work, by its very nature is long term and the throughput in these teams is now much slower with new work being transferred from the Initial Response Team. This is resulting on significant pressures emerging in the long term teams.

- 2.17 The Council has been successful in recruiting to its vacant social worker posts and over the course of the coming three months, 6 new staff will be joining the service. With the exception of one social worker however, these staff are all newly qualifying social workers and will require a significant amount of training and development. The Council, as part of its recruitment strategy has created a 'Social Work Offer' for newly qualifying social workers, based on the Children's Workforce Development Council's Induction Standards. This is a very positive move that guarantees newly qualified social workers a full induction programme that supports their learning and development. We believe this has contributed to our success in recruiting to vacant posts.
- 2.18 As noted above however, there is a mismatch in the casework demands and the skills and experience of staff joining the department. The Head of Business Unit is looking at how work can be best configured and allocated to maximise the newly qualified workers whilst ensuring that cases are allocated to social workers with the right skills and expertise to effectively manage the cases. A report will be prepared and presented to Cabinet in June 2010 highlighting these challenges and making proposals for consideration.
- 2.19 As part of the restructure completed last year, a new resource team has been created which has brought together three smaller teams and community support workers based in some social work teams under one Principal Resources Manager. This new team came into operation on 1 April 2010 and is still evolving. The intention is that this team will develop as part of its range of services intensive support packages to families on the edge of care to prevent the need for children to become looked after and supporting and assessing families in public law proceedings. Progress on developing this model has been hampered by the increase in demand for contact as detailed at 2.13 above which is delivered through this team.
- 2.20 At the present time, the service continues to employ 4 social workers through an employment agency. These workers are experienced and at the present time essential to support the level and complexity the workload demands.

- 2.21 Within the Resources and Specialist Services Business Unit there is currently one vacant social work post which is under recruitment. Through the Council's Business Transformation programme, this unit has seen significant changes with the development of a Through Care team bringing together the Settled Care and Leaving Care Teams under one manager. Plans are well underway to ensure this new team is co-located and fully supported to manage the change process.
- 2.22 At a senior manager level the summer will see significant changes with the retirement of Sheila O'Connor, Head of the Safeguarding, Assessment and Support Business Unit. Sheila has worked for the Council for 26 years and her expertise and skills will be a loss to the service. Recruitment to her post has commenced to ensure that there is continuity of management in this critical service area.

5.3 APPENDIX 11



Diversity Impact Assessment (Predicted Assessments)

Lead Officer: Sally Robinson	Published Date: September 2010
Who has undertaken the assessment: Sally Robinson and SDO Review team	
Date forwarded to Departmental Diversity Rep: N/A at this stage	

Is the subject to be assessed a: <i>(Please tick)</i>		
Strategy <input type="checkbox"/>	Policy <input type="checkbox"/>	Service <input type="checkbox"/>
System <input type="checkbox"/>	Project <input type="checkbox"/>	Other Business Transformation SDO
Name of the assessed and brief description: Service Delivery Review option for Prevention and Children's Social Care		

What is being assessed is <i>(please tick)</i>	
Existing <input type="checkbox"/>	New <input checked="" type="checkbox"/>

Is a copy of the new policy/strategy attached <i>(please tick)</i>	
Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
If No, where can it be viewed?	

Links into Community Strategy and Council Themes *(please tick box(es))***Jobs and the Economy** ☐**Environment** ☐**Lifelong Learning and Skills** ☐**Housing** ☐**Health and Care** ☒**Culture and Leisure** ☐**Community Safety** ☐**Strengthening Communities** ☐**Organisational Development** ☐**Stage 1 - Overview****1. Please give a brief description of the aims, objectives or purpose.***(Note: Wherever possible please quote from the document)*

The aim of this review is to provide safe and co-ordinated prevention, social care and safeguarding processes for children. Services must be able to meet legislative requirements and comply with accepted good practice standards as identified by the Department for Education and Ofsted. The review will identify efficiencies, where possible, as required by the council's business transformation programme. The review must, however, ensure that the safety of vulnerable children within Hartlepool remains paramount and recognise also that preventative services are necessary in order to avoid children and families reaching crisis point and thus requiring specialist, more expensive support packages.

2. Who is responsible for implementation?

Sally Robinson is the lead officer for this review, supported by the review team.

3. Who are the main stakeholders? *(please tick)***The General Public** ☒**Public Sector Service Providers** ☐**Employees** ☒**The Community & Voluntary Sector** ☐**Elected Members** ☐

Stage 2 – Research and Findings

4. What evidence do we presently have and what does it tell us?

(Include any numerical data, public consultation or involvement, anecdotal evidence and other organisations' experiences, outcome of any previous service related INRA, entry into the Risk register)

Work of children's social care teams is subject to national reporting through the NIS. Performance in most areas is good. The announced inspection of safeguarding and services for looked after children undertaken in June 2010 has judged both services as 'good' overall. The service has a number of regulated services in particular, fostering, residential care, adoption and private fostering, the former two services judged as good, the latter two as adequate.

Monthly management information is used to monitor activity and trends, this information is reviewed through the divisions management team on a monthly basis and shared with the Director of Child and Adult Services and Chief Executive. Regular reports analysing activity are prepared for and considered by the Portfolio Holder for Children's Services.

The service regularly engages with those who use the service through consultation events, feedback letters and interviews, user engagement groups such as the Children In Care Council and through a robust comments, compliments and complaints procedure.

5. Identify the gaps in the evidence that we presently have?

No significant gaps identified

6. Record what needs to be done to gather further evidence to undertake the impact assessment?

Impact has been assessed through the process of the Service Delivery Review.

Please note: You will need to have viewed your data or insufficient data before answering the following questions. If no data is available, you will need to make a record of this within your answers below and indicate how this data will be gathered in the future. *(Please refer to glossary for the terms- unmet needs, differential impact, positive impact, negative impact and adverse impact provided in the guidance)*

7. Are there any unmet needs/requirements that can be identified from your research that impact specific equality groups? Which equality groups does it impact?

The work of children's prevention and social care services is specifically targeted at children aged 0-18 who have additional needs requiring targeted services, or are assessed as being in need including those in need of protection and care and accommodation

8. Are there any concerns that there could be a differential/positive/negative/adverse impact on the grounds of gender? Gender refers to male, female and transgender. Please explain your answer.

No, services are provided to all children regardless of gender. The SDO review process has not identified any differential impact on the grounds of gender

9. Are there any concerns that there could be a differential/positive/negative/adverse impact on the grounds of racial or ethnic origin? Please explain your answer.

No, services are provided to all children regardless of racial or ethnic origin. The SDO review process has not identified any differential impact on the grounds of racial or ethnic origin.

10. Are there any concerns that there could be a differential/positive/negative/adverse impact on the grounds of religion or belief? Please explain your answer.

No, services are provided to all children regardless of religion or belief. The SDO review process has not identified any differential impact on the grounds of religion or belief.

11. Are there any concerns that there could be a differential/positive/negative/adverse impact on the grounds of disability? Please explain your answer.

Legislation makes provision for children with disabilities who are identified as children in need entitling them to services. One of the SDO reviews relates specifically to services for children with a disability and seeks to reshape the current provision. However, the proposed changes do not raise concern that there could be differential/positive/negative or adverse impact upon the grounds of disability.

12. Are there any concerns that there could be a differential/positive/negative/adverse impact on the grounds of age? Please explain your answer.

No, prevention and children's social care services are provided to children in the town aged 0-18

13. Are there any concerns that there could be a differential/positive/negative/ adverse impact on the grounds of sexual orientation? Please explain your answer.	
<p>No, services are provided to all children regardless of sexual orientation. The SDO review process has not identified any differential impact on the grounds of sexual orientation.</p>	
14. Summary of adverse impacts <i>(please tick)</i>	
<p style="text-align: center;">Gender <input type="checkbox"/></p> <p style="text-align: center;">Race/Ethnic Origin <input type="checkbox"/></p> <p style="text-align: center;">Religion/Belief <input type="checkbox"/></p>	<p style="text-align: center;">Disability <input type="checkbox"/></p> <p style="text-align: center;">Age <input type="checkbox"/></p> <p style="text-align: center;">Sexual Orientation <input type="checkbox"/></p>

Stage 3 – Consultation

15. Who have you consulted with?
<p>The Service Review team included a customer champion who represented the views of children who use the service. Consultation was undertaken with stakeholders as part of the service delivery review.</p> <p>Staff, unions, elected members, CMT/DMT, BT programme board and Cabinet have been/will all be consulted/informed in line with the communication plan</p>
16. Summary of findings/recommendations from the consultation
<p>The findings from the consultation are included within the individual SDO review reports. Through the consultation process no concerns have been raised about differential/negative/positive or adverse impact of the proposed changes to service structures.</p>

Stage 4 – Adverse Impacts

17. Please give details of what the predicted adverse impact is expected and which groups or individuals it affects.
Not applicable
18. Record what immediate actions are taken prior to implementation to address the adverse impact?
Not applicable
19. Can the adverse impact be justified for any reason? Please explain. (Legislation, promoting equality of opportunity for one group (positive action) etc.)
Not applicable

Stage 5 – Action Planning and Publishing

20. What actions are needed to be taken after the implementation		
Action	Responsible officer	Completion Date
No proposed action required		
21. What are the main conclusions from the assessment?		
Not applicable		

22. How is the impact assessment published/publicised?

The assessment is an appendix to the report to Programme Board and Cabinet where options are to be considered.

23. How is the impact further assessed after its implementation?

DIA will be completed once new service arrangements in place

Signed:**Sally Robinson**_____**Director/Head of the Service****Date:**_____ **03 Oct 10** _____

CABINET REPORT

22 November 2010



Report of: Director of Child and Adult Services

Subject: BUSINESS TRANSFORMATION - SURE START, EXTENDED SERVICES AND EARLY YEARS: SERVICE DELIVERY OPTION REVIEW

SUMMARY

1. PURPOSE OF REPORT

- 1.1 For Cabinet to note the OSCARs increase in prices which exceeds the savings target.
- 1.2 Cabinet is asked to consider the two further options.
- 1.3 Cabinet is asked to note that further information and potential options in relation to the General Sure Start Grant will be presented to Cabinet following the Government's Comprehensive Spending Review.

2. SUMMARY OF CONTENTS

- 2.1 The report contains the Options Report for the Sure Start, Extended Services and Early Years Service Delivery Option Review. This service delivery review has an efficiency target of £40,400 which is 5% of the total budget of £808,300.
- 2.2 The scope of the review has included all local authority funding for this area of work which includes:
 - Play Development
 - OSCARs out of school service
 - Play opportunities pool
 - Early Years

It needs to be noted that Extended Services through schools funding is directly passed to schools and this funding will cease from March 2011 therefore this funding has not been included in this review. The General Sure Start Grant which funds early years activities such as childcare support and children's centres has not been included in the review as this is currently a ringfenced grant.

2.3 The report sets out a recent approval by the Children's Services Portfolio holder of a price increase for OSCARs that is expected to generate the required savings. In addition it sets out two further options to support the savings target. Option one meets the savings targets whereas option two would offer additional savings.

2.4 The options for savings are highlighted below (the detail is included in the main report).

i) OSCARs

The current service is subsidised using council funding of £85,542. The savings could be met by closing the service.

ii) Play Opportunities Pool

There is a current pot of funding which is available for voluntary and community sector organisations to apply for funding to support play opportunities. This pot of funding totals £18,000. This funding could cease to offer savings.

2.5 Details on each of the options are included in the main report which sets out the advantages and disadvantages of each of the options.

3. RELEVANCE TO CABINET

3.1 The report concerns one of the workstreams of the Business Transformation Programme, Service Delivery Options.

4. TYPE OF DECISION

4.1 Non Key.

5. DECISION MAKING ROUTE

5.1 Cabinet 22 November 2010.

6. DECISION(S) REQUIRED

6.1 Cabinet is asked to note the OSCARs increase in prices which exceeds the savings target which was agreed by the Children's Services Portfolio Holder on the 3rd August. The costs in realising the savings are stated in section six of the main report.

6.2 Cabinet is asked to note that further information and potential options in relation to the General Sure Start Grant will be presented to Cabinet in the autumn following the government's comprehensive spending review.

Report of: Director of Child and Adult Services

Subject: BUSINESS TRANSFORMATION - SURE START,
EXTENDED SERVICES AND EARLY YEARS:
SERVICE DELIVERY OPTION REVIEW

1. PURPOSE OF REPORT

- 1.1. For Cabinet to note the OSCARs increase in prices which exceeds the savings target.
- 1.2. Cabinet is asked to consider the two further options.
- 1.3. Cabinet is asked to note that further information and potential options in relation to the General Sure Start Grant will be presented to Cabinet in the autumn following the government's comprehensive spending review.

2. BACKGROUND

- 2.1. The scope of and timescale of the service delivery option review for Sure Start, Extended Services and Early Years were presented to Cabinet in April 2010 and the options analysis report was considered by the Business Transformation Programme Board on 21 October 2010. This report summarises the deliberations of the review team, outlines options that have been considered and identifies preferred options for consideration. This service delivery review has an efficiency target of £40,400 which is 5% of the total budget of £808,300.

3. REVIEW PROCESS

- 3.1. The full review team met on 3 occasions (23rd April, 19th May and 2nd July 2010) to look at potential options and agreed on the final options as detailed in this report.
- 3.2. The Council funding for the areas of work within this service review is relatively small and is split into specific areas as follows:
 - Play Development
 - OSCARs out of school service
 - Play opportunities pool
 - Early Years
- 3.3. The local authority has been notified recently that the extended schools element of the original budget is being removed from April 2011 therefore this element of funding could not be included in the savings.

4. OSCARS

- 4.1. OSCARS is an out of school service that provides childcare to children aged 4-16 years olds on two sites – Miers Avenue Sure Start building and Owton Manor Community Centre. The service offers after school care between 3pm and 6pm and holiday care from 8.30 – 5.45pm. The service has a capacity of 50 children for each site and on average offers care for 34 children on an average day. *(Further details on the service and number of families accessing the service are included in **Appendix A**).*
- 4.2. The review team explored the costs of other out of school providers in Hartlepool and regionally and found that OSCARS was charging below average price. The review team felt that due to this information and that 73% of children lived in more affluent areas of the town a rise in prices was reasonable. The review team felt that the opportunity to raise further income needed to be explored at the earliest possible stage. *(see attached **Appendix B** for the full report).* The change in charges for Oscars which was agreed by the Children's Services Portfolio Holder on 3rd August has enabled an early opportunity to be taken to realise the savings target for this review. The change in charges agreed by the Portfolio Holder is based on an £80,000 increase in income based on current occupancy levels and takes effect from 1st October 2010.
- 4.3. The increase in prices based on current occupancy will exceed the savings target for this review. Although it does need noting that the savings are being met through an increase in income which is therefore presents a higher risk in terms of savings than the closure of the service. If the savings were not realized a further report would need to be presented to Cabinet to potentially close the service.

5. FURTHER OPTION ANALYSIS

5.1. OSCARs - Current council funding £85,542

The options discussed in the review as set out below:

- The service to be delivered by an external organisation. A tendering process would need to be carried out with a private or voluntary organisation taking on this service.

Advantages	Disadvantages
The private and voluntary sector currently operates sustainable childcare therefore this option would not need any council subsidy. The costs of the playworkers in the council are high in comparison due to the	Staff currently employed with HBC would need to TUPE to the new organisation. Discussions with HR have indicated that due to the requirements of the TUPE process it would be unlikely that any locally private or voluntary

council's pay grading structure being higher than those in the private and voluntary sector.	organisation would be able to take on these staff as employees.
The childcare sufficiency assessment shows that there is a need for after school care to enable parents to work. This option would allow this service to continue for these parents. (The Council has a statutory duty to ensure sufficient childcare is available Childcare Act 2006)	The tender process would take at least six months and staff would need to be consulted therefore savings would not be realised for approximately one year.

- The service to be delivered across the region

The situation across the region is mixed. Stockton and Middlesbrough Council do not provide out of school services. Both areas rely on private and voluntary organisations to provide a service to families.

Many schools in Hartlepool provide an out of school club but there are a number who do not wish to and it is important that the parents of these schools are able to access some sort of childcare in order to be in training or work.

- Close the service

Advantages	Disadvantages
The current subsidy would be available as a saving.	All staff would need to be made redundant therefore incurring further costs.
	The childcare sufficiency assessment shows that there is a need for after school care to enable parents to work. If this provision closed a number of parents would be unable to work which could impact on child poverty in the town.
	The Council has a statutory duty to ensure sufficient childcare is available (Childcare Act 2006). If the service were to close the number of out of school places would not be enough.

5.2. Play opportunities pool – current council funding £18,000

The play opportunities pool offers small amounts of grants to voluntary and community sector organisations to support play opportunities. Local organisations use this funding to support play activities. They often use the council funding to attract external funding which also supports play opportunities. (see **Appendix C** for details of the spend).

Advantages	Disadvantages
The current funding allows organisations to develop high quality play opportunities for all children.	Many of the organisations that access this funding rely on this funding in order to deliver the play opportunities therefore it is likely that a number of these play opportunities will cease.
This funding does not support staff salaries in the council therefore there would be no HBC redundancies.	A key area of priority for the town is the reduction of obesity amongst children. The reduction of play opportunities across the town may have a detrimental affect on this priority.

6. OPTIONS FOR CONSIDERATION

- 6.1. The review team discussed all the above options and agreed that the increase in income through the prices changes for OSCARs could provide the savings needed. Although there is a risk associated with generating income the amount of expected income is well above the expected savings for this review therefore it was felt that even if income did not reach enough to breakeven it would cover the £40,400 savings required.
- 6.2. The increase in income through the prices charges for OSCARs as agreed by the Children's Services Portfolio Holder on 3rd August expect to provide more than the full savings target required for this review. However the review team also considered two alternative options for delivering the savings target". These options are set out below:

Option One

OSCARs – close the service which would allow for £85,452 savings. (Redundancy costs would reduce the total amount of saving) The closure of these services would have implications for a large number of families currently using OSCARs to enable them to work. The total number of children registered is:
 207 for after school care
 232 for holiday care

There are currently 12 permanent members of staff within the OSCARs service as follows:
 Out of school co-ordinator
 2 x Assistant Co-ordinators

3 x Special Needs Playleaders
 6 x Playleaders
 1 Bus escort for 1 hour per day term time only

6.3. Options Two

Play Opportunities Pool – cease funding for voluntary and community organisations for play opportunities (£18,000). This would only allow for a small amount of the savings needed and would therefore need to be included within one of the other options. *(further info on the grants awarded through this grant are included in **appendix C**)*. This option does not offer the full savings target but will offer a percentage of the saving needed.

7. **FINANCIAL DETAIL OF THE TWO ALTERNATIVE OPTIONS**

7.1. Option One - Close the service

The current council funding for OSCARs totals £85,452. If the service was to close it would provide an immediate saving of £85,452 although redundancies for permanent members of staff would need to be found. This option would be able to provide the savings needed for this review.

7.2. Option Two – Cease the Play Opportunities Pool

The current play opportunities pool totals £18,000. This could cease as a pool or could be reduced as needed. Therefore savings could be made up to a total of £18,000.

8. **RISK ANALYSIS**

- 8.1. The main risk associated with the preferred option (Increase prices at OSCARs to be sustainable) is parents will not be able to afford the increase in prices. Although it must be noted that the prices would still be competitive in the current market. One other risk would be that some parents would look elsewhere for childcare and therefore numbers would reduce which would impact in income reducing the amount of savings. If savings are not realised as needed for this review, a further report would need to be presented to Cabinet to close the service.

9. **FINANCIAL IMPLICATIONS**

- 9.1. The Service Delivery Options (SDO) programme has been designed to review all council activity over a three year programme and is planned to contribute over £3.5m in savings to the Business Transformation (BT) savings of £6m over this period. Each review has a target for savings set at the outset as part of this overall programme and these are assigned to specific financial years in the Medium Term Financial Strategy. For 2011/12 the MTFs forecasts are based on the achievement of £1.3m of Business Transformation SDO savings from 1st April 2011.

- 9.2. The Business Transformation programme was planned, as part of the MTFS, to support the budgetary position of the council through a managed programme of change. The economic climate of the country, and the likely impact of expected grant cuts post general election, mean that the anticipated budget deficits, after all BT and other savings are taken is still expected to be around £4m per annum for each of the next three years. These additional cuts equate to 4% of the annual budget and a cumulative cut of over 12% over three years. In practice there will be some areas Members wish to protect and this will simply mean higher cuts in other areas and/or the cessation of some services.
- 9.3. It has been identified in previous reports to Cabinet that a failure to take savings identified as part of the BT programme (and more specifically the SDO programme) will only mean the need to make unplanned cuts and redundancies elsewhere in the authority. This position has been exacerbated through the economic circumstances and likely grant settlements and failure to implement SDO savings will in all likelihood make the 2011/12 budget position unmanageable owing to anticipated grant cuts commencing this year. In addition, as reported in the MTFS the Council faces a range of budget risks which exceed the available strategic risk reserve and this funding shortfall will need to be addressed in 2010/11 and 2011/12, which further reduces financial flexibility.
- 9.4. The SDO reviews are attempting to ensure that a service base can be maintained, costs can be minimised and the payback on any investment is maximised. In simplistic terms each £25,000 of savings identified which are not implemented will require one unplanned redundancy with likely associated termination costs. No funding is available for these termination costs as existing balance sheet flexibility is committed to supporting the SDO programme on a loan basis, so higher saving will be needed to fund these termination costs outright.

10. IMPACT

10.1. Impact on service users

The increase in prices already approved by Children's Services Portfolio Holder can provide the savings at the current level of occupancy which will allow families to continue accessing the service.

Option One would have a significant impact on users as the service would close. There are a number of after school childcare providers in the town but they do not have the capacity to take the numbers of children currently accessing OSCARs. This would mean there would be a risk that some families may not be able to work due to a lack of childcare.

10.2. Impact on third sector partners

Option Two to cease the play opportunities pool would impact on a number of voluntary organisations and it may be that these organisations would have to stop providing certain play activities. There may also be a risk that matched funding that voluntary and community attract via the council funding would not be available making many of these organisations vulnerable.

10.3. Impact on council staff

Option One has a significant impact on 12 council staff. These members of staff would need to be made redundant if OSCARs was to close.

- 10.4. A Diversity Impact Assessment was carried out on this Service Delivery Option and is shown at **Appendix D**.

11. **COMMENTS FROM CHILDREN'S SERVICES SCRUTINY FORUM**

- 11.1. This SDO was referred to Children's Services Scrutiny through the Scrutiny Co-ordinating Committee following scrutiny of the Forward Plan.
- 11.2. The Children's Services Scrutiny Forum met on the 30 September 2010 to consider the referral. At this meeting information was provided on the options available for a proposed £40,400 savings target which included how the target and budget base figures had been calculated. After consideration of the information and the options available, the Children's Services Scrutiny Forum supported the SDO and the proposed £40,400 savings target.

12. **COMMENTS FROM BT PROGRAMME BOARD**

- 12.1. The BT Programme Board considered the Options Report on 21st October.
- 12.2. Members considered the report at length and noted that this review was limited because of ring-fenced grants.
- 12.3. It was noted that the report set out a recent approval by the Children's Services Portfolio Holder of a price increase for OSCARS that was expected to generate the required savings. Following the price increase it was noted that there had been no real drop off in usage.
- 12.4. Members noted that the ring-fenced grants would be considered in a broader review once the detail of the Comprehensive Spending Review was known.
- 12.5. Members recognised that the recommended proposals of the review had delivered twice the amount of savings from the original efficiency target and the lead officer was congratulated on such an achievement.
- 12.6. Members of Programme Board indicated their agreement to endorse the recommendations contained within the report which Cabinet would be asked to approve.

13. GENERAL SURE START GRANT

- 13.1. The government policy is currently unclear on the future of Sure Start. The coalition government have committed in principle to Sure Start but with a focus on the targeting of need instead of the current universal service. The funding of this targeted service is also unclear although initial messages from the Department for Education seem to be indicating that any Sure Start funding will be unfenced in the future.
- 13.2. A large amount of parents with children under 5 are now engaging with children's centres and outcomes for the most vulnerable families are improving. It is important that we continue to support our most vulnerable families and in light of reducing funding a review is currently taking place of all Sure Start expenditure with the aim of identifying priorities and the most effective interventions using value for money principles. This review will be presented to Cabinet following the government's comprehensive review in October.

14. RECOMMENDATIONS

- 14.1. Cabinet is asked to note the OSCARs increase in prices which exceeds the savings target which was agreed by the Children's Services Portfolio Holder on the 3rd August. The costs in realising the savings are stated in section six.
- 14.2. Cabinet is asked to note that further information and potential options in relation to the General Sure Start Grant will be presented to Cabinet in the autumn following the government's comprehensive spending review.

6.1 Appendix A

OSCARS

OSCARS is an all year round childcare service operated by Hartlepool Borough Council. It offers both after school club provision and holiday club provision. The service is townwide and open to children from 4 – 16 years of age. It operates from 2 locations within the town – Miers Avenue Sure Start and Owton Manor Community Centre.

The after school club service operates from 3.15 - 6pm for 39 weeks a year. The holiday club service operates from 8.30 - 5.45pm for 11 weeks of the year. The service is closed for 2 weeks over the Christmas period.

Across the 2 sites the service can take a maximum of 133 children in both the after school and holiday clubs.

History

OSCARS After School Club service was established in 1993 operating from The Avondale Centre. It was set up through Hartlepool City Challenge funding (5 year funding) and the Teesside TEC Childcare Fund (single payment). In 1997 a second club opened at Owton Manor Community Centre, Wynyard Road with funding via Single Regeneration Budget (5 year funding). 1998 the service opened its third club in Miers Avenue via SRB funding (4 year funding).

Each club from the start was set up to support various government initiatives around assisting parents into employment, education and training via affordable childcare. As funding tapered and eventually ceased it was expected that the service would be sustainable, this would be done through a rise in fees and an increase in service users.

Additional funding to increase numbers including the introduction of a 'senior club' for older children and a further club within Jesmond Road Primary School has led to the townwide service available today.

Location

Currently OSCARS operates from two sites in the town. OSCAR 1 is based at Miers Avenue Sure Start Centre. OSCAR 2 is based at Owton Manor Community Centre, Wynyard Road. When required Oscar 1 + 2 has access to additional buildings nearby to carry out 'physical' activities. Both the after school clubs and holiday clubs operate from these sites.

The two sites are reflective of a geographic 'split' of the town and serve specific schools in designated areas. OSCARS currently picks up from 32 of the 38 schools across the town in respect of its after school club service. No

other provider in the town offers this service. Depending on the social circumstances of the family the service can take children home also.

Staffing

OSCARS staff are all permanent and include:

- 1 x Out of School Co-ordinator
- 2 x Assistant Co-ordinator
- 6 x Play Leader
- 3 x Special Needs Play Leaders
- 1 x bus escort (1 hour per day term time only)

Families accessing the service

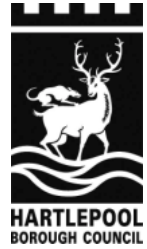
The current number of children registered for the out of school club is 207

The current number of children registered for the holiday club is 232

CHILDREN'S SERVICES PORTFOLIO

Report to Portfolio Holder

3rd August 2010



Report of: Director of Children's Services

Subject: OSCARS OUT OF SCHOOL CHILDCARE
SERVICE – CHANGE IN CHARGES

SUMMARY

1. PURPOSE OF REPORT

To seek approval for a change in charges for OSCARS out of school service.

2. SUMMARY OF CONTENTS

OSCARS is an all year round childcare service operated by Hartlepool Borough Council. It offers both after school club provision and holiday club provision. The service is townwide and open to children from 4 – 16 years of age. It operates from two locations within the town.

Unfortunately the service is not sustainable with the current fee structure. The following report sets out how OSCARS developed, the current fee structure and two proposed fee structures to increase income therefore enabling the service to become sustainable.

3. RELEVANCE TO PORTFOLIO MEMBER

The Portfolio Holder has responsibility for Children's Services issues.

4. TYPE OF DECISION

Non- key.

5. DECISION MAKING ROUTE

Children's Services Portfolio Holder meeting 3rd August 2010.

6. DECISION(S) REQUIRED

The Portfolio Holder is asked to approve a change in charges for OSCARS out of school childcare service.

Report of: Director of Children's Services

Subject: OSCARS OUT OF SCHOOL CHILDCARE
SERVICE – CHANGES TO CHARGES

1. PURPOSE OF REPORT

- 1.1 To seek approval for a change in charges for OSCARS out of school service.

2. BACKGROUND

- 2.1 OSCARS is an all year round childcare service operated by Hartlepool Borough Council. It offers both after school club provision and holiday club provision. The service is townwide and open to children from 4 – 16 years of age. It operates from 3 key locations within the town.
- 2.2 The after school club service operates from 3.15 - 6pm for 39 weeks a year. The holiday club service operates from 8.30 - 5.45pm for 11 weeks of the year. The service is closed for 2 weeks over the Christmas period.
- 2.3 Across the two sites the service can take a maximum of 100 children in both the after school and holiday clubs.
- 2.4 The Council currently has a statutory duty to ensure that there is sufficient childcare for parents in training and employment. This duty does not cover parents not in work or training.

3. HISTORY

- 3.1 OSCARS After School Club service was established in 1993 operating from The Avondale Centre. It was set up through Hartlepool City Challenge funding (5 year funding) and the Teesside TEC Childcare Fund (single payment). In 1997 a second club opened at Owton Manor Community Centre, Wynyard Road with funding via Single Regeneration Budget (5 year funding). In 1998 the service opened its third club in Miers Avenue via SRB funding (4 year funding). Following a review of accommodation OSCARS is now based in Owton Manor Community Centre and Miers Avenue Sure Start.

- 3.2 Initially each club was set up to support various government initiatives to assist parents into employment, education and training via affordable childcare. As funding tapered and eventually ceased it was expected that the service would be sustainable, this would be achieved through a sustainable pricing structure.

4. LOCATIONS

- 4.1 OSCARS operates from two sites in the town. OSCAR 1 is based at, Miers Avenue Sure Start. OSCAR 2 is based at Owton Manor Community Centre, Wynyard Road.
- 4.2 When required Oscar 1 + 2 has access to additional buildings nearby to carry out 'physical' activities. Both the after school clubs and holiday clubs operate from these sites.
- 4.3 Since the initial set up in 1993 the service has operated from a number of sites. Various factors have contributed to this including refurbishment of premises, expiration of rental agreements and preferential terms on premises.
- 4.4 The two sites are reflective of a geographic 'split' of the town and serve specific schools in designated areas. OSCARS currently picks up from 32 of the 38 schools across the town in respect of its after school club service. No other provider in the town offers this service. Depending on the social circumstances of the family the service can also take children home.

5. FEE STRUCTURE

- 5.1 OSCARS currently operates a flexible fee policy at both the after school and holiday clubs. Fees are determined by the number of siblings accessing the service, the employment circumstances of the family and, in the case of holiday care a combination of both. The following fee structure was approved by Children's Services Portfolio Holder in September 2008. The prices are lower than comparisons with other providers.

After school club

	After school	Description
A	£6.15	1 child w aged
B	£5.15	2+ children w aged
C	£4.10	1 child unw aged
D	£4.10	2+ children unw aged

Holiday Club

	Holiday club	Description
A	£11.30	1 child w aged
B	£7.70	2+ children w aged
C	£7.20	1 child unw aged
D	£5.15	2+ children unw aged

6. CURRENT FINANCIAL POSITION**6.1 OSCARS out of school service financial position for 2009/2010 financial year is:**

Total inc 09-10	£120,355.07
Inc from fees 09-10	£115,764.67
Expenditure 09-10	£200,969.13
Deficit 09-10	£80,614.06

6.2 The deficit financial position in 2009/10 needs to be addressed with the introduction of a pricing structure that is based on a break even analysis.**7. PROPOSED FEE STRUCTURES****7.1 Option 1 – break even**

A proposed fee structure based on a break even analysis needs to remove the sibling discount and the unwaged subsidy.

After school club

An after school session would cost £7.20 this would be a 17% increase.

Holiday Club

A holiday club session (full day) would cost £16.75. This would be a 48% increase.

7.2 Option 2 – a staged approach to reaching break even

A staged approach to reaching a break even point is proposed below.

After school club

An after school session would cost £6.60 this would be a 10% increase.

Holiday Club

A holiday club session (full day) would cost £13.00. This would be a 15% increase.

This would not allow OSCARs to be sustainable and therefore the council would need to continue to subsidise the childcare.

- 7.3 Comparisons with other out of school childcare shows that OSCARs current pricing structure is below the average.

Average pricing costs of out of school childcare	after care on school site	after care PVI	holiday care school	holiday care PVI
Oscars	£0.00	£6.00	£0.00	£11.00
Hartlepool	£4.00	£6.00	£12.00	£22.00
Hartlepool range of fees	50p to £6.00	£6 to £12	£12.00	£11 - £28
Middlesbrough	£5.45	£7.00	£15.00	£26.00
Stockton	£6.00	£7.50	£22.00	£25.00
Darlington	£5.50	£9.00	£22.00	£30.00

8. RISK IMPLICATIONS

- 8.1 OSCARs budget continues to overspend even when costs have been reduced to the bare minimum. If more income is not generated the service cannot be sustained. This means that OSCARs will either have to close or other services for children and families will have to close to subsidise this service.
- 8.2 There is a risk that if fees are increased that parents will choose to remove their children from the childcare due to affordability. This will initially reduce income. Research carried out to ascertain where parents live who access OSCARs show that the majority come from more affluent areas therefore implying that a rise in fees will not have substantial impact. Parents on low incomes can claim working tax credits for childcare and therefore will not feel the impact of the increases.

9. EQUALITY AND DIVERSITY CONSIDERATIONS

- 9.1 OSCARs offers childcare to all children and also offers a number of dedicated places to disabled children. OSCARs also employs skilled playworkers to specifically work with these children.

10. SECTION 17

- 10.1 OSCARs childcare service offers children a space and time to play with their peers. This provides a play opportunity which could contribute to prevention of anti social behaviour.

11. RECOMMENDATIONS

- 11.1 The Portfolio Holder is asked to approve either OPTION 1 or OPTION 2 change in charges for OSCARS out of school childcare service as set out in paragraph 7.

12. REASONS FOR RECOMMENDATIONS

- 12.1 To ensure that the OSCARs out of school childcare service is sustainable.

CONTACT OFFICER

Danielle Swainston
Sure Start, Extended Services and Early Years Manager
01429 523671

GRANTS COMMITTEE

14 July 2010



Report of: Director of Child and Adult Services

Subject: PLAY OPPORTUNITIES POOL AWARD 2010 / 2011

SUMMARY

1. PURPOSE OF REPORT

The purpose of this report is to advise members of applications to the Play Opportunities Pool and seek approval for recommended grant awards.

2. SUMMARY OF CONTENTS

The total amount of Play Opportunities funding (2010-2011) available is £18,450.00

The proposed awards for Play Opportunities Grants to the Voluntary Sector are as follows:

<u>Group</u>	<u>Recommended</u>
Hartlepool Families First	£2,500.00
Hartlepool PATCH	£ 512.00
Hartlepool Special Needs Support Group	£3,500.00
Manor Residents Association	£2,711.99
CHILD Deaf Youth Project	£1,048.43
Hartlepool Young Carers	£3,200.00
Manor West Youth Project	£2,890.00

TOTAL **£16,362.42**

This leaves a balance of £2,087.58, available for distribution.

3. RELEVANCE TO PORTFOLIO MEMBER(S)

The Committee has responsibility for determining the levels of grant awarded to the voluntary sector.

4. TYPE OF DECISION

Non-key

5. DECISION MAKING ROUTE

Grants Committee, 14th July 2010

6. DECISION(S) REQUIRED

Members of the Grants Committee are requested:

To approve grant awards to 7 groups, totalling £16362.42

Report of: Director of Child and Adult Services

Subject: PLAY OPPORTUNITIES POOL AWARD 2010/2011

1. PURPOSE OF REPORT

- 1.1 The purpose of the report is to advise members of applications to the Play Opportunities Pool and to seek approval for recommended grant awards.

2. BACKGROUND

- 2.1 The Play Opportunities Grant which totals £18,450 is available to community groups and voluntary organisations. The grant fund supports organisations to provide play opportunities throughout the year complementing provision delivered through Children's Centres and Extended Services through schools. The allocation of play grants also enables groups to provide play to meet local needs, especially in areas of disadvantage.
- 2.2 Grant awards are used as a contribution towards the cost of a play opportunity, with the Authority's funding often attracting matched funding. In total 7 applications have been assessed with requests from the grant pool for staff costs, equipment, venue hire, transport etc.
- 2.3 Criteria are used to assess applications. If the grant is approved it is stated within the terms and conditions of the grant that the group will provide specific monitoring information at the end of each financial year. The monitoring information required includes:
- evidence of the contribution of grant funding,
 - a report of the project,
 - number of beneficiaries,
 - staff training,
 - funding matched from other sources
- 2.4 This information is used to analyse gaps in provision across the town and will be used to inform members on the success of funded projects at a later date.

3. FINANCIAL IMPLICATIONS

- 3.1 £18,450 in total is available for the year 2010/2011.

4. APPLICATIONS

- 4.1 Details of the group requesting funding are as follows:

4.2 Hartlepool Families First

This organisation was established in 1988 and caters for children from birth to 13 years.

A variety of services are offered by the organisation which includes: a Play Bus, Special Needs Afterschool & Holiday Care Scheme, Switch to Play, Specialist Toy Library and SPLAT - Scrap Resource Centre, together with a Health Bus, promoting health well being.

The group wish to offer low cost art and craft sessions for children up to the age of 13 including parents/carers.

The sessions will take place at Hartlepool Families First, a purpose built unit, during school holidays excluding Christmas.

Participants will take part in a fun, enjoyable and creative 2 hour session which will focus on the use of recycled materials, many of which can be found and used in the home. In particular, children taking part in summer 2010 will also receive multicultural perspective on arts as the project will include references to the Tall Ships Race and the origins of its participants.

The sessions provided last year were well attended and received fantastic feedback. The organisation encouraged children from all backgrounds to attend the sessions and as a consequence received a significant number of children with disabilities and additional needs.

It is envisaged that a total of 60 sessions will be delivered across three days per week during the holiday period, with a maximum of 600 places being offered.

The play opportunities offered support the social development of children and contribute to the Enjoy and Achieve outcome.

The cost to provide the above service is as follows:

Staff Costs	£2182.00
Additional bought resources	£1100.00
Management Costs	£900.00
Publicity	£150.00
Total Cost	£4332.00

In addition to making an application to the Play Opportunities Pool the organisation has made application to the Community Chest to cover costs not met by the Play Opportunities Pool and a charge of £2.00 per child to access a two hour session will be levied, increasing the level of funding to offset the cost to a maximum of £1200.00.

Recommendation

A grant of £2500.00 is recommended to contribute towards, staff costs, management costs, purchase of additional resources and publicity costs to deliver 60 two hour sessions over holiday weeks.

4.3 Hartlepool PATCH

This group has been established in Hartlepool since 1993, covering all areas of the town.

PATCH offers confidential support to families with young children and offer one to one support in the home or within one of the many PATCH support groups.

The organisation would like to provide eight summer play sessions for all families with children under the age of 5 years. This will offer play sessions to families in need where isolation can be an issue. During the long summer holidays parents stress levels are more likely to rise, therefore these sessions are a way of relieving some of this stress.

The play sessions also provide opportunities for families to spend quality time together with the children able to participate in high quality play. The sessions will be linked to the Early Years Foundation Stage.

Each session will be delivered over a 3 hour period, including preparation time, engaging both paid staff and volunteers to support the delivery of the sessions. It is anticipated that 73 children and their families will engage in the summer play sessions.

This project will contribute to the Every Child Matters Outcomes, in particular Staying Safe and Enjoy and Achieve.

The cost to provide the sessions is detailed below:

Staff costs	£429.00
Equipment & Resources	£317.00
Healthy Snacks	£150.00
Venue Hire	£334.00

Total project cost £1230.00

In addition the organisation has already secured funding from the Working Neighbourhood Community Chest of £613.00, and this will contribute towards paid sessional workers, room hire and purchase of equipment. Families have also been asked to contribute £1.00 per family.

Recommendation

A grant of £512.00 is recommended towards the cost of staff, resources and room hire.

4.4 Hartlepool Special Needs Support Group

The group has been established since 1989. It caters for approximately 60 children and young people from birth upwards who have varying degrees of disability and specific need. The organisation provides respite to parents, carers and siblings. The services currently operate from the Resource Centre, Park Road and other venues across the town, appropriate to meet the needs of the children and young people accessing the service. The service is able to offer Ofsted registered care between the hours of 10.00am and 4.00pm.

The aim of the group is to:

- Support the development of children and young people who have profound learning and or physical disabilities, with varying complex needs;
- Support families and carers;
- Provide facilities for recreation and other leisure activities, including play;
- Provide a flexible service focusing on individual needs.

The group wishes to operate across all school holiday periods excluding Christmas and during out of school hours in supporting the organisations Children's Club and youth provision. During these periods the children will take part in a number of fun and stimulating activities, outings and trips. They will have the opportunity to enjoy time with their peer groups, enabling them to gain confidence, raise their self esteem and reduce periods of isolation.

The service also allows the children and young people to enjoy play opportunities in a safe and caring environment.

A high percentage of these children require one to one supervision and care due to their disability. The group will be employing staff and volunteers' to care for the children whilst attending these sessions.

The holiday and out of school activities contribute to the Stay Safe and Enjoy and Achieve of the Every Child Matters outcomes.

The total annual cost of service delivery by Hartlepool Special Needs Support Group is detailed as follows:

Whit Week & Summer Scheme	£47, 002.00
Other Holiday Activity days (Easter, October & February)	£3452.80
Out of School Youth Provision (1 session per week)	£6560.00
Children's Club (1 Session per week)	£9880.00

In addition to the Play Opportunities Grant, the organisation has secured a grant of £9,000 from BBC Children in Need. Funding is also secured for the cost of both the manager and administration posts in full. The organisation is awaiting a decision from Hartlepool Borough Council's Children's Disability Service totalling £10,500, which will contribute towards the sessional staff during the summer holiday period and a further £3505 has been secured to offset against other costs associated with the holiday weeks, Children's Club and the Youth provision. To further offset the total cost of the annual programme a fee of £5.00 per child is levied and families also contribute towards social outings and admissions, which equates to approximately £15,000 per annum. The group also continue to source funding from other grant giving agencies to offset the total expenditure of the organisation.

Recommendation

A contribution of £3500.00 is recommended towards the cost of volunteers', sessional staff costs, transport, children's entertainers and craft workshops.

4.5 Manor Residents Association

The group has been established since 1989 and operates from the Resource Centre, Kilmarnock Road. As part of its ongoing activities the group provides a range of play opportunities for children aged 5 – 11 years targeting the Owton Manor area and also working with children in Rossmere, Fens, Greatham, Seaton Grange and Rifthouse.

The group has successfully provided play opportunities over the last five years and want to continue to provide the same services in 2010. The group wishes to provide 10 school holiday weeks of playscheme activities, including a week long residential event.

All children taking part will primarily be from the Owton Manor area, but will be open to children wishing to access services from neighbouring wards. The schemes will compliment and enhance children's activities currently provided by the association during term time.

The focus of the activities will be on providing play opportunities in a safe environment and allowing children to visit other areas to widen their experiences.

The holiday playschemes contribute to the Stay Safe, Be Healthy and Enjoy and Achieve Every Child Matters outcomes.

The provision will provide play opportunities 5 days a week from 9.00am to 5.00pm each day, catering for up to 55 children per day.

The cost to provide the service as detailed within the application is as follows:

Staff Wages	£14,442.35
Volunteers' Expenses	£ 740.35
Venue Hire	£ 4,154.80
Insurance	£ 217.68
Transport	£ 5,194.60
Admissions	£ 5,233.28
Equipment & Resources	£ 2,838.74
Administration	£ 3,975.79
Management Costs	£ 2,870.79

Total Costs: £39,668.38

In addition to the Play Opportunities Grant, the organisation has secured funding from:

• Hartlepool Children's Fund	£27,072.50
• Other Grants	£2,810.60
• Other fund raising activities	£3,423.29
• Fees generated from service users	£3,650.00

Recommendation

A contribution of £2,711.99 towards transport, volunteers' expenses and insurance costs.

4.6 Child Deaf Youth Project

The group has been established since 1995 and has operated a summer playscheme since 1998. In addition to this service, the group also provides a Youth Club Project since 2001. The group operates from the Cleveland Deaf Centre based in Middlesbrough, where the services are accessible to children from across the Tees Valley.

The aim of the group is to:

- Provide a range of educational and social recreational activities for deaf young people, giving them an opportunity to participate in a range of experiences with other deaf and hearing children aged 5 – 19 years;
- Provide new opportunities and positive experiences for deaf children and young people to develop their skills and confidence;
- Facilitate and develop communication skills and provide deaf role models;
- Reduce isolation and encourage self esteem and independence;
- Empower deaf young people to make informed and positive decisions about their future.

4.7 Summer Playscheme Provision

The group is requesting assistance towards the cost of providing a summer holiday playscheme, operating 1 day per week over the 6 week period and envisages accommodating around 50 children per day. It is envisaged that 7 children out of the 50 will be accessing the service from Hartlepool, which will be operating between the hours of 10.00am and 3.00pm each day. The core hours do not take into consideration the transportation time for the children from Hartlepool to and from the centre.

The total cost of the playscheme activities is detailed below:

Staff	£1493.50
Transport	£1596.50
Activities	£2017.77
Administration	£515.00
Travel Expenses (Volunteers')	£44.29
Total Costs	£5667.06

Eligible funding has been calculated on a pro rata basis (as 7 children from Hartlepool will be benefiting from the scheme) in the following way:

Total Cost	£5667.06
Less Ineligible criteria (outings/activity admissions)	£2017.77
Sub Total	£3649.29

£3649.29/50 places = £72.99 per place

Therefore, 7 places x £72.99 = £510.93

Other funding to support the scheme comes from contributions from parents, ranging between £3 and £5, dependent upon the activity delivered. In addition to the Play Opportunities Grant the organisation has made similar applications and requests to neighbouring authorities in the Tees Valley area.

4.8 Youth Club Provision (CHILD Deaf Youth Project)

The group is also requesting assistance towards the operation of their Youth Project for children aged between 5 – 10 years, which operates 1 evening per week over a 42 week period. This project provides a wide range of recreational and educational activities within a warm, relaxed and safe environment where children and young people can interact with their peers. It is envisaged that 2 young people out of a total of 20 attending will be from Hartlepool.

The cost to provide the under 11's Youth Club over 42 weeks , operating 1 evening per week is as follows:

Staff & Volunteer expenses	£515.00
Training for staff & volunteers	£257.50
Equipment/Materials	£257.50
Sessional Workers	£5,871.00
Activities & Outings	£1030.00
Transport Costs	£2,060.00
Administration	£999.10
Total Costs	£10990.10

Eligible funding has been calculated on a pro rata basis (as 2 children from Hartlepool will be benefiting from the scheme) in the following way:

Total Cost	£10990.10
Less ineligible funding	£1030.00
£9960.10/ 20 places = £498.00	

Therefore, 2 places x £498.00 = £996.00

In addition to the Play Opportunities Grant, the organisation has made similar applications to neighbouring authorities in the Tees Valley area. Other funding to support the club comes from parent contributions, application to the Body Shop Foundation and other fund raising from the organisation itself.

The Child Deaf Youth Project activities will contribute to the Stay Safe and Enjoy and Achieve Every Child Matters outcomes

In January 2010, the Manager of the service left the organisation and their replacement has recently come into post. Following the submission of the annual monitoring report, it has come to light that the number of children from Hartlepool had reduced within the under 11's Youth provision compared to the initial expected take up. To enable the group to finalise the monitoring of the grant the non signing new manager has had to employ the assistance of an interpreter to enable the monitoring form to be completed, therefore a portion of the unused grant has been utilised to produce the required document with regards to the Play Opportunities Pool Grant awarded in 2009.

The remaining amount of the 2009 grant is £458.50 and would be utilised against the request for funding in this financial year if approved and the grant request will be reduced accordingly.

Recommendation

A contribution of £510.93 is therefore recommended towards costs for the summer playscheme including staff, volunteers' expenses and transport.

A contribution of £537.50 is therefore recommended towards costs for the under 11's Youth Project for sessional staff, transport, administration and volunteer's expenses. This amount is to be added to the underspend from 2009/2010 which takes the overall contribution for the under 11's Youth Project to £996.00

In total a grant of £1048.93, is therefore recommended to support the delivery of these services from the 2010/2011 Grant Fund

4.9 Hartlepool Young Carers

The group has been established since 2001, and is an integral part of Hartlepool Carers who operate from Lowthian Road, Hartlepool. The group caters for young people aged between 7- 18 years of age across Hartlepool and from within the surrounding villages. The organisation is currently working with 143 young people who act as carers to both parents and siblings.

Hartlepool Young Carers aim is to reduce the caring responsibilities of children who have been identified as having a caring role and to provide respite and support.

Transportation is a major concern to many of the young carers the group supports. This is due to the fact that the person who the young person cares for has no means to get the young carer to activities. Many of the young carers the group supports live in areas of disadvantage and can be vulnerable and frequently unable to access before and after school activities due to caring responsibilities.

Although a young carer has caring responsibilities, it does not mean that they do not have special needs of their own and the organisation has found that there is often a dual caring role within families. Hartlepool Young Carers provide safe, interesting and stimulating opportunities by involving young carers in their choice of activities and if needed providing a volunteer sitting service to allow children and young people to take part while at the same time reducing their anxiety in leaving the person they provide care for.

To enable the young carers to access opportunities provided by Hartlepool Young Carers, the group is requesting funding to provide transport for the under 13's to attend weekly sessions. In addition the group are requesting funding to enable them to deliver Music and Play Therapy Sessions to build resilience and give more interesting opportunities that otherwise would not be available to many young carers.

The organisation activities will contribute to: Be Safe, Enjoy & Achieve and Making a Positive Contribution Every Child Matters Outcomes.

The cost to provide the sessions is detailed below:

50 weekly collection and drop off for Junior Group @ £45	£2,250.00
10 Drum Workshops @ £175 per session	£1,750.00
33 Play Therapy Workshops @ £30 per session	£ 990.00
 Total Cost	 £4,990.00

Funding from other sources has been secured to cover staff costs, admission charges for other activities and the attendance at the National Young Carers Festival in Southampton. An application has also been submitted to Tees Valley Foundation to deliver further activities.

Recommendation

A contribution of £3,200 is therefore recommended towards transport costs, Drum Workshops and Play Therapy Sessions.

4.10 Manor West Youth Project

The organisation has been established since July 2003 covering the Owton Manor ward within Hartlepool. The group works with young people between 8 and 19 years of age and caters for around 60 young people within the project.

The aim of the organisation is to provide leisure, social and educational opportunities for young people in the area and to build self esteem and divert young people from the risk of engaging in anti social behaviour and other criminal activities.

The Youth Project aims to provide inclusive activities during the school summer holidays, by providing safe, educational, healthy and interesting holiday schemes and planned activities. The activities will allow children in families on low or no income to take part in positive activities. This will prevent young people taking part in anti social behaviour and criminal acts.

The Youth Group are requesting funding to provide 4 weeks of school holiday activities, including various sports, craft sessions and trips outside of the town. The group has also received confirmation that a week will also be spent away on a summer camp at Peat Rigg, which will provide a fun action packed week, whereby the young people will learn valuable life skills, team building and trust activities. The cost of this activity has been secured through Tees Valley Community Foundation and Sports Relief Funding.

The activities provided by the organisation will contribute to all of the Every Child Matters Outcomes.

The cost to provide the above activities is detailed below:

Staff Wages	£4,940.00
Venue Hire	£320.00
Insurance	£250.00
Transport	£1,140.00
Admissions	£1,000.00
Administration	£100.00
Peak Rigg	£8,110.00
Total Cost	£15,860.00

The organisation has secured £8,110.00 to enable 30 young people to access the summer camp to Peak Rigg and will also levy a charge of £5 per day for the young people to access the other school holiday activities, equating to £2,500.00.

Recommendation

A contribution of £2890.00 is therefore recommended towards staff costs, transport, venue hire and administration costs.

5. RECOMMENDATIONS

5.1 Members are requested to:

Approve grant awards totalling £16362.42, as detailed above.

CONTACT OFFICER:

Danielle Swainston, Sure Start, Extended Services and Early Years Manager

BACKGROUND PAPERS:

Child & Adult Services Department, Play Opportunities Monitoring File



Diversity Impact Assessment (Predicted Assessments)

Lead Officer: Danielle Swainston	Published Date: November 2010
Who has undertaken the assessment: Danielle Swainston	
Date forwarded to Departmental Diversity Rep: November 2010	

Is the subject to be assessed a: (Please tick) ✓ <div style="display: flex; justify-content: space-around;"> Strategy <input type="checkbox"/> Policy <input type="checkbox"/> Service <input checked="" type="checkbox"/> </div> <div style="display: flex; justify-content: space-around;"> System <input type="checkbox"/> Project <input type="checkbox"/> Other _____ </div>
Name of the assessed and brief description: Service Delivery Option - Children's Centres, Early Years and Play

What is being assessed is (please tick) ✓ <div style="display: flex; justify-content: space-around;"> Existing <input checked="" type="checkbox"/> New <input type="checkbox"/> </div>
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Is a copy of the new policy/strategy attached (please tick) ✓ <div style="display: flex; justify-content: space-around;"> Yes <input type="checkbox"/> No <input type="checkbox"/> </div>
If No, where can it be viewed? Service Delivery Option report available as cabinet report

Links into Community Strategy and Council Themes (please tick box(es)) ✓	
Jobs and the Economy <input checked="" type="checkbox"/>	Environment <input type="checkbox"/>
Lifelong Learning and Skills <input checked="" type="checkbox"/>	Housing <input type="checkbox"/>
Health and Care <input type="checkbox"/>	Culture and Leisure <input type="checkbox"/>
Community Safety <input type="checkbox"/>	Strengthening Communities <input type="checkbox"/>
Organisational Development <input type="checkbox"/>	

Stage 1 - Overview

1. Please give a brief description of the aims, objectives or purpose. <i>(Note: Wherever possible please quote from the document)</i>	
<p>The Service Delivery Options Review scope included: Play Development, Play Opportunities Pool and OSCARS out of school service.</p> <p>An option discussed within the review team included an increase in prices for OSCARS to allow OSCARS to operate as a sustainable service. Portfolio Holder agreed these increases in August 2010 therefore the report to cabinet asks cabinet to note these increases. These increases allow the review to achieve the savings target of £40,400.</p>	
2. Who is responsible for implementation?	
<p>Danielle Swainston, Sure Start, Extended Services and Early Years Manager</p>	
3. Who are the main stakeholders? (please tick) ✓	
<p>The General Public <input checked="" type="checkbox"/></p> <p>Employees <input type="checkbox"/></p> <p>Elected Members <input type="checkbox"/></p>	<p>Public Sector Service Providers <input type="checkbox"/></p> <p>The Community & Voluntary Sector <input type="checkbox"/></p>

Stage 2 – Research and Findings

4. What evidence do we presently have and what does it tell us? <i>(Include any numerical data, public consultation or involvement, anecdotal evidence and other organisations' experiences, outcome of any previous service related INRA, entry into the Risk register)</i>
<p>Information has been collected within the review</p> <ul style="list-style-type: none"> • Individual user information to map use • Addresses of service users • Information on how other LAs are delivering the service

5. Identify the gaps in the evidence that we presently have?

User information has been gathered but there has been no non user consultation to see why people are not using OSCARs. Although this consultation may not be appropriate as users of other out of school providers have every right to choose the care for their children.

6. Record what needs to be done to gather further evidence to undertake the impact assessment?

Please note: You will need to have viewed your data or insufficient data before answering the following questions. If no data is available, you will need to make a record of this within your answers below and indicate how this data will be gathered in the future. *(Please refer to glossary for the terms- unmet needs, differential impact, positive impact, negative impact and adverse impact provided in the guidance)*

7. Are there any unmet needs/requirements that can be identified from your research that impact specific equality groups? Which equality groups does it impact?

OSCARs is an out of childcare service. There have been a few children accessing the service that have parents not working. The subsidy given to non working parents has been removed as the council has a duty for ensuring childcare is available for parents in training or employment. A mapping exercise took place to ascertain the availability of play activities for children and there was a variety on offer therefore these children would still be able to access activities.

No evidence that it impacts specifically on any particular group.

8. Are there any concerns that there could be a differential/positive/negative/adverse impact on the grounds of gender? Gender refers to male, female and transgender. Please explain your answer.

No evidence showing any impact.

9. Are there any concerns that there could be a differential/positive/negative/ adverse impact on the grounds of racial or ethnic origin? Please explain your answer.	
No evidence showing any impact.	
10. Are there any concerns that there could be a differential/positive/negative/ adverse impact on the grounds of religion or belief? Please explain your answer.	
No evidence showing any impact.	
11. Are there any concerns that there could be a differential/positive/negative/ adverse impact on the grounds of disability? Please explain your answer.	
Children with disabilities access the OSCARs service and receive a high level of care. There is no evidence of any negative impact.	
12. Are there any concerns that there could be a differential/positive/negative/ adverse impact on the grounds of age? Please explain your answer.	
OSCARs service is 3 – 16 years old.	
13. Are there any concerns that there could be a differential/positive/negative/ adverse impact on the grounds of sexual orientation? Please explain your answer.	
No evidence showing any impact.	
14. Summary of adverse impacts (please tick) ✓	
Gender <input type="checkbox"/>	Disability <input type="checkbox"/>
Race/Ethnic Origin <input type="checkbox"/>	Age <input type="checkbox"/>
Religion/Belief <input type="checkbox"/>	Sexual Orientation <input type="checkbox"/>

Stage 3 – Consultation

15. Who have you consulted with?

Users, other organisations offering out of school care, business transformation review team, children's services scrutiny, business transformation board.

16. Summary of findings/recommendations from the consultation

Consultation showed that all childcare providers in Hartlepool operate a pricing structure that is sustainable. Therefore a subsidy for OSCARs should not be required.

Stage 4 – Adverse Impacts

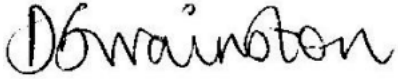
17. Please give details of what the predicted adverse impact is expected and which groups or individuals it affects.

Prices have increased therefore parents earning low incomes will be affected although they can claim childcare costs through working tax credits.

18. Record what immediate actions are taken prior to implementation to address the adverse impact?
Ensure all families have access to benefits and tax credit advice and support to access them – Families Information Service to provide this support and signposting to providers such as West View Advice and Resource Centre.
19. Can the adverse impact be justified for any reason? Please explain. (Legislation, promoting equality of opportunity for one group (positive action) etc.)

Stage 5 – Action Planning and Publishing

20. What actions are needed to be taken after the implementation	
Action	Responsible officer
Parents informed of support available for claiming working tax credits	Danielle Swainston/Tracy Liveras
21. What are the main conclusions from the assessment?	
There is no evidence of any impact on specific groups of families/ children.	

22. How is the impact assessment published/publicised?	
23. How is the impact further assessed after its implementation?	
Continual review of occupancy of the service and continual review of prices	
Signed:  _____	Date: 1/11/10 _____
Head of the Service:	

CABINET REPORT

22 November 2010



Report of: Director of Child and Adult Services

Subject: RE-INSPECTION OF THE YOUTH OFFENDING SERVICE

SUMMARY

1. PURPOSE OF REPORT

To report to Cabinet on the work undertaken to improve and develop the Youth Offending Service (YOS) following the inspection in November 2009 and inform Cabinet of the planned re-inspection of the service in January 2011.

2. SUMMARY OF CONTENTS

The report reflects on the findings from the HM Inspectorate of Probation Core Case Inspection of the Youth Offending Service undertaken in November 2009 and audit and evaluation work completed by the Youth Justice Board National Performance Improvement Team in March 2010. These findings both identified that significant areas of improvement were required within the Youth Offending Service in Hartlepool.

The report outlines the work that has been undertaken over the past six months to support and improve the work of the Youth Offending Service with a focus on quality assurance, reviewing processes and systems and improving practice and the case records supporting work with children and young people.

Audit work has been completed to assist the service to understand its client base and shape service around the needs of children and young people in the youth justice system in Hartlepool.

A service restructure is required and work has been completed on a draft structure which will be consulted upon in the near future.

The Council has received formal notice that a re-inspection of the service will commence on 24th January 2011. The report outlines how the service is preparing for the re-inspection and notes that it is likely the findings of the re-inspection will be that further service improvements are required.

3. RELEVANCE TO CABINET

Cabinet has responsibility for ensuring the effectiveness of services within the town.

4. TYPE OF DECISION

Non-key.

5. DECISION MAKING ROUTE

Cabinet on 22 November 2010.

6. DECISION(S) REQUIRED

None

Report of: Director of Child and Adult Services

Subject: RE-INSPECTION OF THE YOUTH OFFENDING SERVICE

1. PURPOSE OF REPORT

- 1.1 To report to Cabinet on the work undertaken to improve and develop the Youth Offending Service (YOS) following the inspection in November 2009 and inform Cabinet of the planned re-inspection of the service in January 2011.

2. BACKGROUND

- 2.1 In November 2009 HM Inspectorate of Probation (HMIP) undertook a Core Case Inspection of the YOS in Hartlepool as part of the Inspection of Youth Offending programme. Judgments in these inspections are made in relation to three areas of performance:

- Safeguarding;
- Public Protection – Risk of Harm;
- Public Protection – Likelihood of Re-offending.

- 2.2 The findings of the inspection were that ‘drastic’ improvement was required in relation to safeguarding and ‘substantial’ improvement was required in both public protection risk of harm and likelihood of re-offending. The inspection found that improvements were needed in the quality of assessment and planning and work to manage vulnerability and safeguarding. The inspection highlighted that work with Children’s Services was not sufficient in all cases to safeguard all children and young people and there were a significant number of children and young people who were vulnerable due to either their own or other people’s actions. The report noted that staff had good working relationships with children and young people and that some children retained contact with the YOS when their orders had finished. The report concluded that overall the findings were disappointing with performance around vulnerability and safeguarding being of particular concern.

- 2.3 The inspection made eight recommendations which formed the basis of an improvement plan that was submitted to HMIP and the Youth Justice Board (YJB). HMIP determined that re-inspection of the service was appropriate and this was scheduled to take place approximately 12 months from the original inspection. Over the past year, the YJB has monitored the implementation of the action plan.

- 2.4 In March 2010, the YJB National Performance Improvement Team visited Hartlepool to offer support in conjunction with the regional YJB team to improve the service in Hartlepool. The brief of the National Performance Improvement Team was to assist the YOS to review and improve:
- Performance Quality Systems;
 - Strategic governance;
 - Policy and procedures regarding thresholds of vulnerability and risk;
 - Partnership arrangements.
- 2.5 The National Performance Improvement Team reported its interim findings on 26 March 2010 making recommendations using the Five Drivers of Performance as follows:
- Governance and Leadership;
 - Performance and Quality Systems;
 - Resources, Practice and Processes;
 - Partnership Working;
 - People and Organisation.
- 2.6 On 6th April 2010, Cabinet received a report on the Youth Offending Service detailing the improvement plan associated with the recommendations from the Core Case Inspection and outlining an option appraisal with regard to the most appropriate future location of the Youth Offending Service within one of the Council's departments. The decision was taken at that meeting to move the service to the Child and Adult Services department.
- 2.7 The YOS currently sits within the Prevention, Safeguarding and Specialist Services division of Child and Adult Services. Since taking responsibility for the service, work has been undertaken to understand in depth the issues leading to the outcome of the 2009 Core Case Inspection and working with the management team to develop and improve the service to fulfill its statutory responsibilities and provide a high quality service to children and young people involved with the service.
- 2.8 Key areas for improvement have been identified as follows:
- The quality of practice, case work and record keeping;
 - Delivering a professional service;
 - Culture of the organisation and workforce development;
 - Joint working and collaboration;
 - Service leadership and management;
 - Strengthening the role and function of the Management Board;
 - Quality assurance and performance management
 - Understanding the local context and effective use of management information.

- 2.9 In the past six months, work has been undertaken with the YOS to tackle the above areas for improvement and implement the improvement plans arising from the Core Case Inspection and National Performance Improvement Team. In May 2010 the YJB recommended that the services still had major shortcomings and suggested that some additional support and leadership would be beneficial to move the service forward and to model good practice. As a result in July 2010, Rita Taylor, a recently retired YOS Head of Service joined the service two days per week for six months with a view to supporting the management team to implement the required improvements and prepare for the re-inspection of the service. Her work to date has focused on developing quality assurance arrangements and embedding this within the day to day management of the service, reviewing systems and processes within the service to ensure the effectiveness of core business and ensuring effectiveness of recording in the Careworks system by implementing systems for identifying where records are not linked or incomplete. This work has started to yield positive results but needs more time to embed the changes within the service and staff team.
- 2.10 In addition to the work undertaken by Rita Taylor, new working arrangements have been introduced within the service to strengthen the management arrangements and accountability of all staff to start to bring the team together as a cohesive service. This is being achieved through the introduction of a communication strategy, fortnightly managers meetings, fortnightly case managers meetings and a monthly whole service meeting. These changes are being met with some resistance, however, it is clear that these changes need to be implemented to raise the standards within the service and ensure consistent and high quality practice.
- 2.11 In July 2010 the YOS prepared its Annual Strategic Plan which was presented to Cabinet for agreement. This plan outlines the strategic priorities for the coming year under the four headings required by the YJB as follows:
- Resourcing and Value for Money;
 - Structure and Governance;
 - Partnership arrangements; and
 - Risk to Future Delivery.

This plan was ratified by Cabinet and now has a supporting action plan to ensure its implementation is effective and monitored by the Management Board. Given the number of service improvement or action plans the service is currently working to, taking in to consideration those prepared in response to the inspection and the National Performance Improvement Team as well as actions arising from Local Management Reviews and the self assessment, a first draft of an integrated Service Improvement Plan has been developed. This document will be finalised by the end of the month.

- 2.12 In order to be able to provide effective service to children and young people in the town who are involved in the criminal justice system, it is imperative that the service understands its client base and has a profile of young offenders in Hartlepool and the nature of their needs. The Core Case Inspection identified that domestic abuse was a noticeable feature in the lives of children and young people in the criminal justice system in Hartlepool and that the service had a high threshold and tolerance of this vulnerability. As a result of this, an audit has been completed of all children and young people in the service to understand the nature of the domestic abuse they have experienced and how the abuse affected them. This audit provides an insight into domestic abuse as it impacts upon children and young people and makes recommendations as to how the service can better respond to the needs of children and young people in the criminal justice system that are affected by domestic abuse.
- 2.13 To further support the YOS to understand the needs of children and young people who require the service, a study has been undertaken looking at local offending trends in Hartlepool, in particular the prevalence of violent offending by young people. This study compares the youth crime statistics in Hartlepool with regional and national data to profile young offenders in Hartlepool. A draft report has been received for consideration which makes recommendations that will support the future development of the service and inform plans for a restructure. Parallel to this, the management information officer attached to the service is receiving training in Careworks (the YOS database) to assist her to draw down management information from the system which can be reported on a quarterly basis to the Management Board. This will ensure the Board has access to information about the nature of youth offending in the town and can challenge the service on how services are delivered and outcomes achieved.
- 2.14 In September 2010 the National Performance Improvement Team undertook a benefits review of progress against the findings and recommendations of their visit in March 2010. This visit was supported by the regional YJB team who had undertaken audit work to inform the review. The feedback from the Improvement Team was that progress had been made, however systems developed were not embedded and there remained inconsistency in relation to management oversight and quality of practice. The audit completed by the regional team found that the standards of some records remained inadequate and significant areas for further improvement remained. The review recommended that all YOS records are reviewed in preparation for the re-inspection in January and it was likely that the re-inspection would still highlight that further improvement is required.
- 2.15 Over the past three months, the structure of the YOS in Hartlepool has been reviewed. This is in line with the recommendations from the YJB and in preparation for the efficiency savings arising from the impact of the Comprehensive Spending Review. A draft restructure has been developed that will bring together the two case management teams into one team and builds an infrastructure of quality assurance and review into the service. It is anticipated this restructure will address a number of performance issues that

continue to be apparent within the service. Meetings are planned with Human Resources in November to consider the proposal and plan staff consultation sessions.

- 2.16 The Council has recently received formal notice of the date for the re-inspection of the service which will commence on 24th January 2011. An inspection preparation team has been established within the YOS and case records are currently being audited as recommended by the YJB. Managers from both Darlington and South Tyneside have kindly agreed to support Hartlepool in this piece of work by providing managers to undertake case record audits.
- 2.17 The work following the YOS moving into Child and Adult Services has focused on supporting the management team to strengthen the performance and quality of practice in the YOS and developing systems and processes to support core business. A restructure of the service will commence in the near future that will seek to promote greater consistency of management and practice within the service and ensure that lines of accountability and expectations of practice are clear. The service continues to face the challenge of needing to improve further and it is anticipated this will be highlighted in the forthcoming inspection.

3. RECOMMENDATIONS

- 3.1 That Cabinet notes the contents of this report and endorses the plans for the further development and improvement of the YOS.
- 3.2 That Cabinet notes the planned re-inspection of the YOS that will commence on 24 January 2011.

CABINET REPORT

22nd November 2010



Report of: Chief Executive

Subject: BUSINESS TRANSFORMATION – QUARTERLY
PROGRAMME UPDATE

SUMMARY

1. PURPOSE OF REPORT

To provide a recap on the programme, to update on progress on the Programme since April 2010 and to provide an outline of forthcoming activity.

2 SUMMARY OF CONTENTS

- 2.1 The report provides an overview of the current status of the programme and forthcoming reports which will be considered by Cabinet. In providing this review and forward plan it is the intention of the report to provide sufficient information for the overall monitoring of progress of the Programme, against the originally established timescales.
- 2.2 In addition the report includes an update in respect of both financial and risk related issues. It is the intention that these monitoring reports provide up to date information in relation to both savings achieved and the costs incurred for future meetings. The BT Programme, and the contribution it can make to the Medium Term Financial Strategy (MTFS) has been revisited in the light of the new financial position the authority faces. The originally established contribution to the MTFS for 2011/12 was £1.3m. As members will be aware, the BT Programme when it was established has core and aspirational targets. The core targets were built into the MTFS but the review, and progress on the programme in this year has identified that a significant portion of the aspirational targets can be factored in as part of the MTFS. This is not without risk but has resulted in an additional potential contribution of £1.6m from the BT programme to addressing the budget deficit for 2011/12
- 2.3 Whilst progress has been made on the programme it is important to note that there are a number of further factors, outside the control of the authority which continue to impact upon the Council (and the Business Transformation Programme) in the short and medium terms. Following the general election

there is an increasing and immediate need to reduce expenditure significantly which Cabinet Members are aware of.

- 2.4 The BT programme contributes significant savings to support the Medium Term Financial Strategy but is unlikely, in its current form, to meet all of these requirements.
- 2.5 The continuation of Business Transformation aligned with a programme of other related activities is the most likely solution which is capable of delivering the change needed in the timescales required. The BT Programme, whilst now only part of the solution, does provide a clear framework and programme from within which it is possible to identify and manage some of the changes.
- 2.6 The overall Transformation Programme continues to proceed broadly in line with the originally agreed scope and timescale although work undertaken in respect of the SDO Programme has identified additional savings over and above those factored in as part of the MTFS.

3. RELEVANCE TO CABINET

The Business Transformation Programme is a cross cutting council wide programme and is therefore of relevance to Cabinet.

4. TYPE OF DECISION

Non Key.

5. DECISION MAKING ROUTE

Cabinet 22nd November 2010.

6. DECISION(S) REQUIRED

- 6.1 Cabinet are recommended to;
 - 6.1.1 Note the progress made to date on the implementation of the programme and forthcoming reports to Cabinet included in this report.
 - 6.1.2 Identify any issues they wish the Business Transformation Team to take into account in the implementation of the programme.

Report of: Chief Executive

Subject: BUSINESS TRANSFORMATION –
QUARTERLY PROGRAMME UPDATE

1. PURPOSE OF REPORT

- 1.1 To provide a recap on the programme, to update on progress on the Programme since the last quarterly update report in May 2010 and to provide an outline of forthcoming activity.

2. BACKGROUND

- 2.1 At meetings between April and September 2010 Cabinet made decisions in respect of the implementation, and further development of the Business Transformation programme. For information these are shown in detail in **Appendix 1** but some of the key elements are shown below;

- Service Delivery Options Review Programme (Year 2 Reviews) Cabinet noted the delivery plans which included the scope, inclusions and timescales in respect of the following reviews:-
 - Social Inclusion, Vulnerable Pupils, Special Educational Needs
 - Children's Centres and Early Years
 - Legal, Elections and Land Charges
 - Adult Social Care Provider Services
 - Tees Archaeology
 - Libraries and Community Resources
 - Revenues and Benefits
 - Regeneration and Neighbourhood Management
 - Sport & Recreation Service
 - Environment
 - Housing
- Service Delivery Options Review Programme (Year 1 Reviews) Cabinet agreed the options reports which identified efficiencies in respect of the following reviews:-
 - Connexions/Youth Service
 - Facilities Management
 - Waste Management
 - Reprographics
- Membership of the Programme Board. Cabinet reconsidered the Membership and Terms of Reference of the Business Transformation Programme Board

- 2.2 Whilst progress has been made on the programme it is important to note that there are a number of further factors, outside the control of the authority which continue to impact upon the Council (and this programme) in the short and medium terms.
- 2.3 In addition there is an increasing and immediate need following the general election to reduce expenditure significantly. The £6.2bn package of public sector spending cuts for 2010/11 announced by the Coalition Government on 24th May reduced both capital and revenue funding to the Council. The main revenue reduction was to the Area Based Grant and amounted to £1.7m (in the 2010/11 financial year from the budget agreed by Council in February) for Hartlepool. It has been necessary to make decisions in year to address this issue by reviewing reserves and by realising savings which were not expected. Further additional permanent savings have been identified for implementation in April 2011 to offset the permanent grant reductions announced in May.
- 2.4 The emergency budget on the 22nd June outlined an average 25% reduction in funding for unprotected departments over a four year period, to be set out in the Comprehensive Spending Review to be published on 20th October. It is important to note that this reduction is an average over all non protected departments and so some may be more than 25% and some less. Local Government is not a protected department and so can expect a higher level of reduction. As reported to Cabinet on 11th October the Councils Medium Term Financial Strategy considers the impact of grants cuts over four years of 25% and 30%, with the anticipation that cuts will be front loaded to 2011/12.
- 2.5 The Business Transformation Programme, when it was established, was based on a number of assumptions, and at that point, such reductions in grants were not envisaged. The BT programme contributes significant savings to support the Medium Term Financial Strategy, but in its current form, to meet all of these requirements owing to the scale of the grant reductions, as summarised below.

Grant Cut over next 4 years	Annual Grant Cut	Cumulative reduction by 2014 / 15 £M	Cumulative reduction by 2014 / 15 without BT savings
25%	10% for 2011/12 5% from 2012/13	20.8	25.8
30%	15% for 2011/12 5% from 2012/13	23.1	27.1

- 2.6 The MFTS indicates that even after reflecting the Business Transformation Programme, increasing the savings delivered by this programme (from £1.3m to £2.9M for 2011/12) and a range of other measures the Council still faces a budget deficit for 2011/12 in the order of £4.1m to £6.7m (based on grant reductions next year of between 10% and 15%). Not realising the savings projected as part of the Business Transformation Programme for 2011/12 increases these deficits by £2.9m.

- 2.7 The MTFS also indicates that the Council will continue to face significant budget deficits beyond 2011/2012 owing to grant cuts, as summarised below. These forecasts assume each years budget is balanced through permanent reductions in net expenditure.

Residual Budget Deficits 2012/2013 to 2014/2015

Grant Cut over 4 years starting 2011/12	2012/13 Deficit £'m	2013/14 Deficit £'m	2014/15 Deficit £'m
Total cut 25% - 10% 2011/12, then 5% per year	5.0	3.9	3.8
Total cut 30% - 15% 2011/12, then 5% per year	5.0	3.9	3.8

- 2.8 It will become increasingly difficult to bridge the budget deficits after 2011/2012 owing to the measures which will have already been implemented. Therefore, as well as developing detailed proposals for addressing the 2011/2012 deficit, the Council needs to begin planning now how it will address future deficits. This strategy needs to include:

- sharing services with other councils or organisations;
- commissioning services from other organisations;
- increasing income;
- prioritising services and identify areas which will be scaled back or stop completely

3 Spending Review

- 3.1 The Spending Review announcement on 20th October 2010 provided details of cuts in Government funding over the next four years. For Local Government those cuts amount to 28%, which is within the planning range of 25% -30% outlined in the previous paragraph. A comparison with other Government departments indicates that Local Authorities have received an extremely challenging financial settlement, as illustrated in the following table;

- 51% - CLG departmental expenditure
- 33% - Treasury
- 29% - Environment, Food and Rural Affairs
- 28% - Local Government (excluding Police and Fire)
- 27% - Small and Independent bodies
- 25% - Business, Innovation and Skills
- 24% - Law Officers
- 24% - Foreign and Commonwealth

- 23% - Justice
 - 23% - Home Office
- 3.2 The Spending Review announcement states that the Local Government grant cuts equated to an “average” annual cut of 7.25% per year. An analysis of the detailed figures included within the Spending Review Document indicate that these cuts will actually be front loaded in 2011/12 and 2012/12 and over these two years the grant cuts will amount to 17.1%.
- 3.3 The Spending Review confirmed a specific grant will be made available to fund a Council Tax freeze in 2011/12. This grant will pay a grant equivalent to the income which would have been raised by a 2.5% Council Tax increase to Local Authorities which freezes Council Tax at the 2010/11 level. For Hartlepool the Council Tax freeze grant equates to approximately £1m.
- 3.4 On the downside the Working Neighbourhood Funds has been abolished. This change means the support for the MTFS from rebadging WNF and the Area Based Grant is no longer sustainable, which is a funding loss to the core General Fund Budget of £0.5m.
- 3.5 Taking account of the changes detailed in the Spending Review (detailed in paragraphs 3.1 – 3.5) the forecast deficit detailed in paragraphs 2.6 and 2.7 continue to be appropriate for planning purpose at this stage.
- 3.6 Information issued after the main Spending Review announcement has provided more details of changes in the core formula grant. This information suggests there will be a greater front loading of grant cuts in 2011/12 and this will mean that the deficit for 2011/12 will be much closer to the top end of the current forecasts. Further details will be reported to Cabinet on 29th November within the main budget report.

4 Current Programme Status and Progress on actions

- 4.1 Overall the status of the programme is classed as on target, although there are elements of the programme where there has been some slippage. There has been some slippage in individual workstreams against original targets which has been incorporated into the workstream plans. The impact of the slippage across the related workstreams will continue to be managed.
- 4.2 The BT Programme, and the contribution it can make to the Medium Term Financial Strategy (MTFS) has been revisited in the light of the new financial position the authority faces. The originally established contribution to the MTFS for 2011/12 was £1.3m. As members will be aware, the BT Programme when it was established has core and aspirational targets. The core targets were built into the MTFS but the review, and progress on the programme in this year has identified that a significant portion of the aspirational targets can be factored in as part of the MTFS. This is not without risk but has resulted in an additional potential contribution of £1.6m from the BT programme to addressing the budget deficit for 2011/12

- 4.3 The programme overall is on target to deliver the efficiencies required at this stage even after the review to increase the contribution to the MTFS. The financial monitoring arrangements continue to be refined, and target savings continue to be reviewed in line with progress. The funding proposal for one-off costs was referred from Council to Scrutiny and approved on September 21st 2009.
- 4.4 Brief summaries of progress and plans for each workstream are attached in **Appendix 2** to this report.
- 4.5 Specific points to note during the first two quarters of 2010/11 include:
- As has been stated the programme has been reviewed in the light of the current financial climate with targets for savings increased from a contribution on £1.3m to the 2011/12 budget to £2.9m
 - The “People Framework” including Management Competencies and generic management job profiles have been agreed. The framework focuses on how a job role is performed on a day to day basis and describes the main skills, knowledge and behaviours that underlie effective performance.
 - A new Management Development Programme has been devised known as the “Management Academy”.
 - Further progress has been made on the HR/Payroll system. The implementation of the payroll aspects of the ResourceLink system (phase 1a) has been live since April. The payroll system for Cleveland Fire Authority and North East Regional Control Company employees also transferred to live in April. In addition funding has been provided by the Regional Improvement & Efficiency Partnership (RIEP) to support the implementation programme through consolidating departmental requirements and procedures.
 - The process to consolidate the previous three payroll teams from Payments, HR and Neighbourhood Services into one central team is now complete and savings in line with expectations identified.
 - The phased introduction of upgraded budgetary control reports and the roll out of web access to the Integra financial management are both complete. These will provide the foundations to support a number of the proposed changes for the transactional and support services.
 - All moves required to vacate Leadbitter and Archive Buildings were completed, Leadbitter Buildings, sold and handed over on the 17th May. Archive Buildings, sold and handed over on 1st June.
 - The sale of the Municipal Buildings has been agreed with vacant possession to be achieved by January 2012. However early vacation is desirable to the Council and the purchaser and the target date for vacation is April 2011.
 - Progress on the Service Delivery Options Year 1 Programme. Options Reports (the second stage of the SDO Programme) have started to be reported through Programme Board and Cabinet.
 - Agreed SDO’s and updates in respect of the four Year 1 reviews (Connexions/Youth Service, Reprographics, Facilities Management and Waste Management) are attached as **Appendix 3**.

- The Year 2 SDO programme has commenced and summaries of the Delivery Plans (the first stage of the SDO Programme) for the reviews have been reported to Programme Board and Cabinet.
- The new e-booking system has been approved and the project initiation completed.
- Parking Services, which includes Blue Badges, Business and Concessionary Permits transferred into Hartlepool Connect during September 2010.
- The new website has gone live. Marketing has been undertaken via Hartbeat and is now completed.

4.6 Detailed plans and preparations remain in place to ensure that we meet the key milestones for the programme. It is important that the following are met:

4.6.1 Corporate Restructures / Management Structures

- There is some minor structural design work for non-management roles still to be completed in the newly created centralised services.

4.6.2 Transactional Support Services

- Implementation of phase 1a of HR Payroll system is now complete. Work has commenced on the next phase of the project which includes the development of reporting arrangements, the introduction of the HR modules and employee self-service arrangements. The current project plan spans the next twelve months. The current active elements are the Training module, CRB, Discipline and Grievance and the School Workforce Census which are scheduled for introduction by the end of the year.
- The new Income Receipting system was successfully introduced in November. This is now fully operational for central processes. Work has now commenced on rolling out the system corporately and to identify integration options with other systems.

4.6.3 Customer Services

- The second phase of the Hartlepool Connect Rollin Programme has commenced, this phase will be determined by the Service Delivery Options Reviews. SDO Lead Officers are responsible for identifying the services/processes suitable for integration and for quantifying efficiencies that result from integration.
- The Channel Shifting programme continues to be progressed. The project is dependant on a number of projects that are currently underway which includes, e-forms; payments, booking and GIS systems; and the new look Council website.
- Development of the new Customer Service and Channel Strategy which will support the delivery of all the elements of the workstream.
- A cross-departmental working group has been set up to reduce number of contacts advising change of address. Go live scheduled prior to the end of the year.

4.6.4 Service Delivery Options

- Options Reports in respect of the Year 1 SDO Programme (the second stage for the SDO programme) have started to be reported through to Programme Board and Cabinet, with the final Year 1 reviews are planned to be considered by Programme Board and Cabinet during the autumn.
- Options Reports in respect of the Year 2 SDO reviews are scheduled to be considered by Programme Board and Cabinet during the autumn.
- In addition to those SDOs already considered and agreed by Cabinet the following are expected to be considered by Programme Board and Cabinet through November and December

SDO Review	Anticipated Savings (£000)
Engineering & Building Consultancy	120
Environment (Street Cleansing, Grounds Maintenance, Parks & Countryside)	185
Regeneration & Neighbourhood Management	60
Children's Centres, Early Years	40
Social Inclusion, Vulnerable Pupils	110
Adults Social Operation Provider Services	169
Children's Social Care	137
Sports & Recreation	98
Tees Archaeology	22
Libraries	157
Legal	59
Public Protection	85
Housing	52
Revenues & Benefits	101
Total	£1,395

4.6.5 Asset Management

- The review of non-administrative operational buildings and land is now aligned with the SDO review programme and a proactive approach is being taken in challenging the current service property use and occupation.
- The exit strategy for existing services to be developed regarding vacating Municipal Buildings (the desirable target date is April 2011).
- The office space standards have evolved and an on going evaluation indicates that the maximum average allowance of 8 to 10 sq m was over generous. Given the on-going reductions in storage and the use of suitable furniture it is now appropriate to set the target maximum at an average of 7sq m per workstation, this links with the rationalisation of the administrative buildings are it enables the disposal of vacant buildings.

- The Accommodation Strategy is to be reviewed, revised and monitored to consider how the standards are being met and maintained.
- The programme of non operational property and land to reduce surplus property is being implemented. A Disposal Strategy and Schedule has been agreed and is being updated on a year to year basis.
- A review of all leased property has recently been completed and an action plan is being devised to rationalise or gain better value from the holdings
- Outstanding and forthcoming rent reviews of leased property have been identified and have been programmed for implementation. Processes have been put in place to reduce the level of unpaid rents to maximise income..

4.6.6 Non Transactional Services

- Investigating opportunities to benefit from the modernisation of the ICT infrastructure, including server hardware, network, and common software tools. This work is progressing, and expected to generate small scale savings in the financial year 2010/11.
- At this stage two projects are coming to a conclusion with combined savings of potentially £50K. A review of the telephony provision has identified savings of £25k per annum (this is currently the subject of a call in) and a further review of printing arrangements has identified savings of £25K. Further projects are also being progressed.
- The new centralised Procurement function was in place for 1st April 2010. Work is now being undertaken to identify priorities for the realisation of the savings required through procurement. There are expected to be significant potential benefits through obtaining better value from spending budgets.
- In addition to identification and securing of savings, the procurement team are developing the Council's e-procurement capability through the use of an e-tender application and the investigation of options with regard to adopting an e-quotation system for use across the entire Council.

4.7 The programme is, as has been stated on an ongoing basis, complex and with a series of significant and related actions. The management of the programme is appropriate to the needs at this stage.

5 Financial Update

5.1 The programme budget to support the delivery of the programme is in line with expectations, with commitments made to fund further backfilling and support through the rest of 2010/11 and into 2011/12 and is shown in **Appendix 4**.

5.2 The main points to note are:

- The Management structure savings are, based upon current proposals has delivered savings of £2.555M for the 2010 /11 budget which is a recurring and ongoing saving
- Service delivery options reviews agreed to date have delivered £0.969M for the budget year 2011/12

- In terms of Asset Management, Rent and other associated reviews these have realized ongoing savings of £0.209M with additional savings identified but yet to be realized
 - The transactional workstream has identified savings to date of £0.025M with additional plans expected to be realized by the end of the financial year for the 2011/12 budget.
 - The non transactional workstream has identified projects and plans for £0.195M which are currently being progressed to defund budgets
- 5.3 At a consolidated BT programme level, adjustments continue to be made for the potential overlap of savings across workstreams in determining the forecast savings that the programme will ultimately deliver for the Council. In terms of programme implementation, departments appreciate the cumulative impact of savings required by different workstreams (e.g. savings will be required from management structures, from SDO reviews, from transactional and non transactional workstreams) and the overall scale of savings required.
- 5.4 The BT team has continued to refine the cash envelopes and more detailed targets for the various elements of the programme in conjunction with the departments.
- 5.5 The identified savings required as part of the Business Transformation Programme at this stage, for the 2010 /11 budget (as per the Medium Term Financial Strategy) have been identified and are being implemented / realised.

6 Key risks

- 6.1 The risks identified which may impact on the programme have previously been reported to Cabinet and are monitored as part of the overall management and control of the programme and its component parts.
- 6.2 It is appropriate to reiterate a number of those that have already been identified and to provide further information on others as the nature, or potential impact, of the risk become clearer. These are identified below.
- 6.2.1 The programme comprises a number of interrelated elements. The nature of the change required only provides for very limited opportunity for realising efficiencies from discrete, stand alone projects. This therefore increases both the complexity of the change required and the cumulative effect of developments on capacity to achieve successful change.
- 6.2.2 Whilst this is a known feature of the programme, it reinforces the need to ensure that potential efficiencies are not double counted, that capacity remains in the system to ensure that the programme outcomes can be achieved and to programme realistically.
- 6.2.3 The Service Delivery Options (SDO) element of the programme has been set an ambitious target as part of the overall programme. The original target of £4.6M was over half of the overall projected programme savings and requires significant innovation and change to deliver this. The programme of reviews

that has been developed provides a framework within which to progress this element of the programme. The aspirational targets total up to £6.5M, though these include some very sensitive areas. It is likely that there will be a significant number of potentially complex and challenging decisions to be made in respect of current and future service provision if these scales of efficiencies are to be delivered. This may include decisions in relation to the continuation of services, current standards and levels of provision, eligibility thresholds to services, and the delivery of the service among a range of others. Not to make such decisions may result in some reviews failing to deliver their target savings and therefore compensatory savings will need to be identified from elsewhere to ensure the initial savings target is satisfied.

6.2.4 The information presented earlier in the report in sections 2.2 to 2.8 particularly, demonstrates the need to ensure that the savings to be realised from the BT programme are significant and important in the context of the challenges facing the authority.

6.3 Programme and workstream risks are attached at **Appendix 5**

7 Communications

7.1 Communication continues as an important and constantly evolving part of the Business Transformation programme and the communication arrangements are currently under review. A variety of communication mediums have been used during the last year and will continue to be monitored and reviewed to measure effectiveness. Trade Union representatives continue to be briefed on a monthly basis.

8 Future Plans

8.1 The report identifies the key activities and actions over the last quarter building upon the decisions made by Cabinet in previous meetings. In addition there are a range of reports planned over the next 6 months as follows :

- There are a number of planned reports to Cabinet in respect of Stage 2 (Options Appraisal Reports) of both the Year 1 and 2 SDO programme. It is envisaged that the following will be considered by Cabinet between November and December:
 - Engineering & Building Consultancy
 - Environment
 - Regeneration & Neighbourhood Management
 - Children's Centre & Early Years
 - Social Inclusion/Vulnerable Pupils
 - Adult Social Care
 - Children's Social Care
 - Sport & Recreation
 - Archaeology
 - Libraries & Community Resources
 - Legal, Elections and Land Charges

- Public Protection
- Housing
- Revenues & Benefits
- Quarterly updates on the overall Programme.

9 Conclusion

- 9.1 The overall Transformation Programme continues to proceed broadly in line with the originally agreed scope and timescale. There has been some slippage in individual workstreams against original targets (except for Corporate Restructures/Management Structures) which has been incorporated into the workstream plans.
- 9.2 At this stage these slippages are not significantly affecting the programme. The opportunity has been taken to revisit the delivery plans and the planned savings profile (in line with the expectations of the Medium Term Financial Strategy) and this has resulted in an increase in the anticipated savings from £1.3m to £2.9M for the MTFS for the 2011/12 budget. It is an opportune time to do this as the main element of the Year One Plan, the Corporate Restructure/Management Structures workstream, is coming to a conclusion to ensure that the plans to take the programme are robust and manageable.
- 9.3 The Programme of Service Delivery Options has the single largest contribution to the overall financial savings of the programme. Any decision to not implement available options in respect of these reviews will leave a subsequent financial deficit in the Medium Term Financial Strategy which will require addressing. It is part of the overall ethos of the programme that we will take a managed, though often difficult, approach to the change required.
- 9.4 As outlined in the “Shape of the Council - Next Steps” Cabinet report of the 19th July, and in the light of the issues highlighted earlier in this report in paragraphs 2.2 to 2.8 regarding the reductions in budget. The continuation of Business Transformation aligned with a programme of other related activities is the most likely solution which is capable of delivering the change needed in the timescales required. It is therefore important in the consideration of the need to address as many of the budget decisions as we can in a managed way, that the Business Transformation Programme is continued. The BT Programme, whilst now only part of the solution, does provide a clear framework and programme from within which it is possible to identify and manage some of the changes. The BT programme will require review if a number of the options discussed by Cabinet on the 19th July in the Shape of the Council Next Steps report are progressed, however it is better to review and manage related budgetary issues in the context of a known and deliverable programme than ceasing the BT programme to essentially increase the short and medium term issues with no clear plan to address either part or all of this and will increase the Council deficit overall by 3.5m. Subject to how Cabinet determine to move forward the BT programme, targets and focus for individual SDO reviews can be reassessed on an ongoing basis.

10 Recommendations

Cabinet is recommended to:

- Note the progress made to date on the implementation of the programme and forthcoming reports to Cabinet included in this report
- Identify any issues they wish the Business Transformation Team to take into account in the implementation of the programme

Background Papers

Cabinet reports of:

28th June 2010 – BT - SDO Review Programme, and approval to the make up of Programme Board.

7th June 2010 – BT – Potential make up of Programme Board

24th May 2010 – BT - SDO Review Programme and Quarterly Programme Update

6th April 2010 – BT – SDO Review Programme

10th March 2010 – BT - Quarterly Programme Update

22nd December 2009 – BT – SDO Review Programme

16th November 2009 – BT – Departmental Structure

2nd November 2009 – BT – Corporate Restructure

21st September 2009 – BT – Corporate Restructure Tier 3

7th September 2009 – Call-In of Cabinet Decision – BT (Programme Board and Asset management Arrangements)

17th August 2009 – Energy Management – Invest to Save Programme

13th July 2009 – BT – Quarterly Programme Update

6th April 2009 – BT Programme (Corporate Restructure)

26th January 2009 – BT Programme

15th September 2008 – BT Programme

11th February 2008 – BT Programme

Contact Officer

Andrew Atkin

Assistant Chief Executive

(01429 523003)

andrew.atkin@hartlepool.gov.uk

APPENDIX 1

Previous decisions of Cabinet BT related (last 6 months)

Cabinet 10th March 2010 - With respect to Business Transformation 3rd Quarterly Report. Cabinet noted the progress made to date on the implementation of the programme and forthcoming reports to Cabinet.

Cabinet 6th April 2010 - With respect to Business Transformation – Service Delivery Options Review Programme Report (Year 2 Reviews) Cabinet noted the scope, inclusions and timescales of the following reviews:-

- Children's Centres and Early Years
- Social Inclusion, Vulnerable Pupils, Special Education Needs
- Legal, Elections and Land Charges

Cabinet 24th May 2010 With respect to Business Transformation –

a) 4th Quarterly Report. Cabinet noted the progress made to date on the implementation of the programme and forthcoming reports to Cabinet.

b) Service Delivery Options Review Programme Report (Year 2 Reviews) Cabinet noted the scope, inclusions and timescales of the following reviews:-

- Adult Social Care Provider Services
- Tees Archaeology
- Libraries and Community Resources
- Sports & Recreation Services
- Regeneration and Neighbourhood Management
- Housing
- Environment
- Revenues and Benefits

Cabinet 7th June 2010

With respect to Business Transformation – Cabinet reviewed the Governance arrangements for The Way Forward – Business Transformation Programme and agreed a report on the potential make up of the Programme Board be submitted to the next Cabinet meeting.

Cabinet 28th June 2010 With respect to Business Transformation –

a) Service Delivery Options Review Programme Report (Year 1 Reviews) Cabinet noted the findings and approved the identified efficiencies of the following reviews:-

- Connexions/Youth Service
- Facilities Management
- Waste Management
- Reprographics

b) Cabinet revisited the report on the Governance arrangements for The Way Forward – Business Transformation Programme and agreed the make up of the Programme Board.

APPENDIX 2

CORPORATE RESTRUCTURE/MANAGEMENT STRUCTURES WORKSTREAM UPDATE SEPTEMBER 2010

The vision for this work stream is for the Council to have management structures which are sustainable in terms of capability and capacity to deliver a high performing council, whilst freeing up resources for service delivery and front line services.

New Functional Structures

The functional structures of the three departments were agreed by Cabinet on 6th April 2009.

Management Development Programme

A new Management Development Programme has been devised known as the "Management Academy". The Management Academy will be an individual targeted programme for all managers. The launch event took place during June. The programme includes a 360 degree appraisal exercise which was undertaken during August and September and a practical Development Centre which is being undertaken during September and October.

Costs & Savings

There has been some minimum expenditure in line with the budget. The saving from the workstream was £2.518m for the 2010/11 Budget and a recurring saving of £2.55m from 2011/12 onwards. The original projected workstream target saving was £2.55m which included administration savings too. Budgets have been defunded accordingly.

Overall Progress – Green

The delivery plan for this workstream has been completed.

CENTRALISATION OF ASSET MANAGEMENT FUNCTION WORKSTREAM UPDATE SEPTEMBER 2010

Operational from April 2010.

The opportunity to further review asset/property management will be taken in the forthcoming SDO.

Rationalisation of Administration Buildings and Introduction of Accommodation Strategy

Target date for disposal of one main administration building was originally Jan 2011.

Two main administration buildings have been vacated and sold – Leadbitter (April 2010) and Archive Buildings (May 2010).

The sale of the Municipal Buildings has also been agreed with vacant possession to be achieved by January 2012. However early vacation is desirable to the Council and the purchaser and the target date for vacation is April 2011.

The office space standard has evolved and on going evaluation indicates that the maximum average allowance of 8 to 10 sq m was over generous and what is generally being achieved is an average of 7.5sq m per workstation. Given the on going reductions in storage and the use of suitable furniture it would be appropriate to now set the target maximum at an average of 7sq m per workstation.

Non Administration Operational Building and Land Rationalisation

The identification of surplus property or space within property is part of a review that is on going and taking place against the setting of the Service Delivery Options Programme and the development of Service Asset Management Plans to challenge property holdings and efforts are being made to accelerate the programme within the context of available resources and competing priorities.

This is a significant consideration as the Council institutes wide spread changes to Service Delivery to address the budget deficit which may include the rationalisation of buildings such as libraries and community centres as an example.

Non Operational Property and Land Management

A Disposal Strategy and Schedule has been agreed to dispose of currently identified surplus property and is being updated on a year to year basis.

Outstanding legal completions have been identified and processes reviewed to reduce turn around time and maximise income.

A review of all leased in property has recently been completed and an action plan is being drawn up to rationalise or gain better value from the holdings.

Outstanding and forthcoming rent reviews of property leased out have been identified and programmed for implementation.

Processes are being put in place to reduce the level of unpaid rents to maximise income.

In addition the exercise on appealing rating valuations is resulting in substantial savings.

Energy Invest to Save

The first year programme identified projects and savings figures which are estimates.

The main issue is identifying actual savings achieved and whether these have got up to the expected estimated level. Actual versus projected savings may prove difficult to separate and quantify due to variances in cost, and consumption due to not least to prevailing weather conditions

A fuller programme is being developed for implementation in future financial years.

CUSTOMER SERVICES WORKSTREAM UPDATE SEPTEMBER 2010

The Customer Service Business Case aims to transform customer services through the delivery of four key elements.

Activities within the Customer Services Business Case will be further developed and monitored as part of the Corporate Strategic Customer Group and reported to CMT Support Group.

Progress**Reduce Avoidable Contact**

A data capture exercise was carried out across the authority in November 2008 to provide a baseline of the authority's customer contact, further to this a validation exercise was carried out in February 2009 which resulted in improvements being identified and implemented across the authority. A further data collection was completed in November 2009 this data has been analysed and improvements identified and were incorporated into Service Planning for 10/11.

Migrate Services to Hartlepool Connect

Phase one of the Rollin Programme has commenced and includes enhancing and extending the end to end processes of existing services i.e.:

- Parking Services – Blue Badges, Business and Concessionary Permits Services transferred into Hartlepool Connect in September 2010.
- Benefits and Free School Meals – Potential for integration of these services will be identified and will be considered as part of the Revenues and Benefits Service Delivery Options Review.

The second phase of Hartlepool Connects Rollin Programme will be determined by the Service Delivery Options Reviews. SDO Lead Officers are responsible for identifying the services/processes suitable for integration and for quantifying efficiencies that result from integration.

Channel Shifting to more efficient channels

Channel shifting includes reviewing how customer's access services now and how they want to access services in the future and providing a choice of access methods that improve services delivered to customers. This is dependant on a number of projects that are currently underway inc; e-forms, payment, booking and GIS systems, and the new look Council website. The channel shifting programme will link in with the migration of services into the Hartlepool Connect and will assist in the reduction of avoidable contact.

Develop a new Customer Service and Channel Strategy

A Customer Service and Channel Strategy will support the delivery of all of elements of the customer service business case. This will be developed and monitored by the newly formed Strategic Customer Group and actions have been built into Service Planning for 2010/11.

Costs and Savings

Indicative costs and savings have been identified as part of the Customer Service Business Case to date no savings have been made.

Overall Progress - Amber

The delivery plan for this workstream remains on schedule.

SERVICE DELIVERY OPTIONS - Cabinet September 2010

Year 1 SDO Programme

The Delivery Plans for the year one SDO reviews were reported to Programme Board and Cabinet before Christmas.

The next stage in the process is the Options Reports, four reviews, Reprographics, Waste Management, Connexions/Youth Service and Facilities Management have now been considered by CMT, Mayors Briefing, Programme Board and Cabinet. Arrangements are now being put in place to defund these budgets. The final year one reviews are planned to be considered by Programme Board and Cabinet during the autumn.

At this stage and with a number of issues still being considered, the proposals likely to come forward look to deliver the savings targets agreed for each of the reviews, although this will need confirming at the later reporting stages.

For the Medium Term Financial Strategy the savings from all these reviews are required for the 2011/12 budget and progress is currently on schedule.

Year 2 SDO Programme

The first stage of this process, as with the year one reviews is the Delivery Plans, which have been reported to both Programme Board and Cabinet. The Options Reports are scheduled to be considered by Programme Board and Cabinet during the autumn.

The financial savings for the year two reviews are also factored into the Medium Term Financial Strategy for 2011/12 and are working to an outline timescale which aims for completion by the end of the year.

The Year 2 SDO Reviews are expected to deliver over £1.1 million in savings and progress is currently on schedule to deliver the required savings, although this will need confirming at the later reporting stages.

General note

As has been previously noted the Service Delivery Options reviews, a major component of the Business Transformation programme, are more than just the management and restructuring of services, they are about imaging and delivering new solutions, and being prepared for challenges yet to emerge. SDO reviews are about realising cashable savings whilst ensuring better use of public sector resources. They are not necessarily about outsourcing, or providing poor quality services. In order to

realise the efficiencies required there must be openness to alternative delivery models which will involve making difficult decisions.

Overall Progress - Amber

NON-TRANSACTIONAL SUPPORT SERVICES – Cabinet September 2010

ICT

The new centralised ICT function was in place prior to 1st April and co-located in the Civic Centre during May. The team is now working on some key projects which are focusing on opportunities for making budget savings across the authority.

Internal Service Level Agreements, which clarify the arrangements governing relations between services have been devised and agreed by the three departments.

ICT Infrastructure

The new centralised ICT team are investigating opportunities to benefit from modernisation of the ICT infrastructure, including server hardware, network, and common software tools. Savings have been made from printing and telephony.

Corporate Procurement

The new centralised Procurement function was in place for 1st April 2010. Work is now being undertaken to identify priorities for the realisation of the savings required through procurement.

There are expected to be significant potential benefits through obtaining better value from spending budgets.

In addition to identification and securing of savings, the team are developing the Council's e-procurement capability through the use of an e-tender application (with a view to this becoming the Council's sole tender route) and the investigation of options with regard to adopting an e-quotation system for use across the entire Council.

Overall Progress - Amber

TRANSACTIONAL SUPPORT SERVICES WORKSTREAM UPDATE SEPTEMBER 2010

HR / Payroll Project

The implementation of all payroll aspects of the Resourcelink system has been live for all HBC, Cleveland Fire Brigade and North East Regional Control Company employees since April. All HBC employees are also now paid monthly.

Work has commenced on the next phase of the project which the development of reporting arrangements, the introduction of the HR modules and employee self-service arrangements. A current project plan spans the next 12 months. The current

active elements are the Training module, CRB, Discipline and Grievance and the School Workforce Census which are scheduled for introduction between now and Christmas.

Income Receipting Project

The new Income Receipting system was successfully introduced in November. This is now fully operational for central processes. Work has now commenced on rolling out the system corporately and to identify integration options with other systems.

Re-engineer & Standardise Support Services

The phased introduction of upgraded budgetary control reports and the roll-out of web access to the Integra financial management are both complete. These provide the foundations to support a number of the proposed changes for transactional and support services. To date limited progress has been made on the standardisation of processes and the creation of service delivery arrangements. These will now be reviewed in conjunction with the service delivery option (SDO) reviews, in particular the Finance and HR reviews, and the restructure proposals.

Administrative Staff

The administrative staff review has begun and is scheduled to be completed in December. Meetings have been held with department representatives to quantify the nature of all existing administration roles. Affected employees have been notified of the span of the review and are currently in the consultation process, pending implementation of proposed structures.

Costs & Savings

Expenditure is in line with the agreed budget provision. The savings are being tracked as the projects proceed.

Overall Progress - Amber

The delivery plan for this work-stream remains on target.

APPENDIX 3**Agreed SDOs and Updates****Connexions/Youth Service SDO Review**

The Connexions/Youth Service SDO Review had a minimum 5% efficiency target, equating to savings of £133,800 from an original base budget of £2,675,300.

The review had followed a reporting process which included the Delivery Plan which was reported to the Business Transformation Programme Board on 16th December and Cabinet on 22nd December and the Options Report which was reported to Business Transformation Programme Board on 27th April and considered by Cabinet on 28th June.

The review had brought together Connexions and the Youth Service into one integrated team, with a single head of service.

Cabinet noted and agreed all of the recommendations in the report which included the following target savings:-

	Budget*	Target
Greatham project	B	**15,000
St Hild's project	B	1,500
Connexions unequal'd post	A	25,000
Grant givers training	B	1,000
Intermediate labour market	A	40,000
Services from Barnardo's	B	**51,300
Total		£133,800

* The different areas of savings either come from base budget marked 'B' or area based grant, 'A'.

Facilities Management SDO Review

The Facilities Management SDO Review had a minimum 5% efficiency target, equating to savings of £278,000 from an original base budget of £5,274,000.

Delivery Plan - to the BT Programme Board on 16/12/09 & Cabinet – 22/12/09

Options Report - to the BT Programme Board 27/04/10 and Cabinet 28/06/10

Cabinet noted and agreed all of the recommendations in the report including:-

- Efficiencies already achieved from the Management structures exercise in Building Maintenance
- Renegotiation of food contracts and standardisation of hours.
- Operating changes in building cleaning, stores and in school catering.
- Reducing the hours of the deterrent security arrangements in respect of Hartlepool Connect.

- Recognising the opportunities for growth that exist within the legislation regarding trading powers and expand and develop the Facilities Management service to deliver surpluses to the Council
- Rationalisation of the civic attendant service

A further report will be submitted to the Portfolio Holder to progress the reconsideration over the next 12 to 18 months of the transformation options for services included in this SDO review was agreed.

Reprographics SDO Review

The Reprographics SDO Review had a minimum 7.5% efficiency target, equating to savings of £30,400 from an original base budget of £404,700.

Delivery Plan - to the BT Programme Board on 16/12/09 & Cabinet 22/12/09

Options Report - to the BT Programme Board 22/03/10 & Cabinet 28/06/10

Cabinet noted and agreed all of the recommendations in the report which would provide a saving in the region of £31,000, the recommendations included:-

- Retain an in-house centralised print management function to manage all Council requirements. All Council requirements to be directed to the function.
- Retain the in-house copy-shop print production function and market these services to generate additional income wherever possible.
- Deliver complex design and publishing services, off-set litho printing and other print related elements of production work via the procurement of a framework of printing and design companies.
- Retain basic design provision through in-house administrative support services.
- That a further review be undertaken as the potential for collaboration and shared service provision develops.

Waste Management SDO Review

The Waste Management SDO Review had a minimum 5% efficiency target, equating to savings of £240,000 from an original base budget of £4,811,500.

Delivery Plan - to the BT Programme Board on 16/12/09 & Cabinet – 22/12/09

Options Report - to the BT Programme Board 22/03/10 and Cabinet 22/06/10

Cabinet noted and agreed all of the recommendations in the report including

- Investment in the Household Waste Recycling Centre resulting in operational changes producing £65,000 of savings;
- The reduction in waste volumes experienced to date and the increase in the amount of waste recycled, producing efficiencies of £65,000;
- The introduction of a charge of £15 for 3 items for bulky household waste collections with a concessionary rate of £7.50 from April 2011 to enable the full £240k efficiency target to be achieved;
- That the charge to residents for replacement bins be increased and a further report submitted to Portfolio Holder to progress this increase and the reconsideration over the next 12 to 18 months of the transformation options for services included in this SDO review was agreed.

The Departments are now working through all four of the above Implementation Plans to make the necessary changes to implement the decisions made by Cabinet and for any required reports to be considered by the Portfolio holder. Due to the tight timescales set out for the Year One SDO reviews, it is felt that further opportunities are available in following years to generate maximum efficiencies in waste management.

The consideration of the major transformation of these services in the light of the limited time available will need to be revisited over the next 12 – 18 months. This will form part of further considerations which will be required across the authority for all areas of the organisation in the light of external pressures which the authority will be facing.

The key risks associated with the review will be considered as part of the Council and Departments ongoing risk management arrangements.

APPENDIX 4

BUSINESS TRANSFORMATION OVERALL FINANCE PROGRAMME – September 2010**BT OVERALL PROGRAMME SAVINGS (AS AT 30 SEPT 2010)**

WORKSTREAM	Ongoing Savings Target £'000	Annual Targets				In Year 2010/11 for 11/12 budget £'000	Full Year Actual Savings Cumulative				
		2009/10 for 10/11 budget £'000	2010/11 for 11/12 budget £'000	2011/12 for 12/13 budget £'000	2012/13 for 13/14 budget £'000		2009/10 £'000	2010/11 £'000	2011/12 £'000	2012/13 £'000	2013/14 £'000
ORGANISATION and MGT STRUCTURES (incl Admin /PA)	2,555	2,335	2,555	2,555	2,555	37	126	2,518	2,555	2,555	2,555
SDO	5,805	0	2,446	5,471	5,805	969	0	0	969	969	969
TRANSACTIONAL	315	30	205	315	315	25	0	0	25	25	25
NON TRANSACTIONAL	195	35	195	195	195	0	0	0	0	0	0
ASSET MANAGEMENT	599	50	230	440	599	209	0	0	209	209	209
CUSTOMER SERVICES	0	0	0	0	0	0	0	0	0	0	0
TOTAL	9,469	2,450	5,631	8,976	9,469	1,240	126	2,518	3,758	3,758	3,758

APPENDIX 5**Overall Programme and Workstream Risks**

- Care needs to be taken to ensure the programme does not fail to deliver the full benefits because the overall programme is not co-ordinated or due to a lack of support
- There is a risk of conflicting pressure being placed on resources from within a workstream and across workstreams. E.g. a key resource allocated to several areas within a workstream may have to prioritise; carrying out a service review at the same time as a restructure and re-locating buildings.
- Care needs to be taken to identify and account for savings achieved for, or by other workstreams so that benefits can be allocated appropriately across the programme..
- The financial management, including linkages between overall and workstream figures, is critical. Work will continue to ensure the figures are up-to-date and consistent. The financial projections underpinning the Medium Term Financial Strategy (MTFS) requires the programme to realise the expected benefits according to the programmes timescales.
- There is a risk that employee relations suffer due to proposed changes being implemented without the support of the workforce.
- Within the SDO review programme, some reviews may fail to deliver their target savings. In such a scenario, the respective Director will be responsible for identifying compensatory savings to ensure the initial savings' target is satisfied.
- Whilst outside of the Councils control, the Governments spending cuts and significant reduction in grant settlements overtake the managed programme.

HR/Payroll – Transactional

- This is a complex project with a number of interdependencies on other areas which could impact on the actual deliverables.
- Managing the change process is challenging not only due to the potential resistance to change but the complexity of change required to deliver the savings.
- The realisation of efficiency and cost savings is challenging and will need to be reviewed as part of the HR/Payroll phases 1b and 2.
- Maintaining on going service provision throughout the project has been difficult as resources are stretched.
- Prioritisation of the deliverables is now in progress to mitigate against further delays.

Restructures/Management Structures

- Loss of key staff through the change process culminating in loss of professional and specialisms and leaving skill gaps.

- Opposition from Trade Unions and staff groups, however there is a communication strategy in place with regular meetings with the unions to mitigate this risk.
- Failure to deliver the full savings through management structures.

Service Delivery Options

- The realisation and tracking of the Implementation Efficiency Plan may not be straightforward (especially where there is overlap with other workstreams).
- There is a lot going on – it is not simply a question of doing the service reviews but getting the outcomes implemented at the same time as other change (especially during year 1).
- Leadership of the workstream needs to be reviewed.
- Identifying and accounting for savings achieved for / by other workstreams is particularly important, enabling benefits to be allocated appropriately across the programme.
- The workstream will require a significant number of potentially complex and challenging decisions in respect of current and future service provision. If these decisions are not made it is likely that the proposed savings will not be made.

Asset Management

- It is noted that disposal of buildings would have to be undertaken against the current economic climate but that capital receipt has not been included in the efficiency figures. Targeted pre sales will mitigate the risk having vacant properties. Nevertheless, a method for extracting savings achieved from termination of buildings' upkeep will need to be confirmed.
- Due to the volatile market and introduction of carbon reduction commitments the reduction in energy consumption and consequent savings may not be realised.

Non-Transactional

- It is noted that a number of items have slipped but that no wider impact is currently reported.

Customer Services

- Customer Service Business Case challenging due to the size, scope and limited resources, however, with detailed planning for each element this should assist in delivering this project.
- An important element of the workstream is concerned with getting the IT improvements in place followed by proper and effective use within the organisation. There may also be scope to explore elements of the workstream that are not reliant on new IT, as indicated in the Cabinet report on 13th July 2009, e.g. more efficient methods of working designed to reduce avoidable contact.

CABINET REPORT

22nd November, 2010



Report of: Chief Finance Officer

Subject: QUARTER 2 – CAPITAL AND ACCOUNTABLE
BODY PROGRAMME MONITORING REPORT
2010/2011

SUMMARY

1. PURPOSE OF REPORT

- 1.1 To provide details of progress against the Council's overall Capital budget for 2010/2011 and the spending programmes where the Council acts as the Accountable Body for the period to 30th September, 2010.
- 1.2 The report considers the following areas: -
- Capital Monitoring
 - Accountable Body Programme Monitoring

2. SUMMARY OF CONTENTS

- 2.1 The report provides detailed monitoring information for each Portfolio up to 30th September, 2010.

3. RELEVANCE TO CABINET

- 3.1 Cabinet has overall responsibility for the monitoring of the Council's budgets.

4. TYPE OF DECISION

- 4.1 None.

5. DECISION MAKING ROUTE

- 5.1 Cabinet 22nd November, 2010.

6. DECISION(S) REQUIRED

- 6.1 Cabinet is asked to note the report.

Report of: Chief Finance Officer

Subject: QUARTER 2 – CAPITAL AND ACCOUNTABLE
BODY PROGRAMME MONITORING REPORT
2010/2011

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Report of: Chief Finance Officer

Subject: QUARTER 2 – CAPITAL AND ACCOUNTABLE
BODY PROGRAMME MONITORING REPORT
2010/2011

1. PURPOSE OF REPORT

- 1.1 To inform Cabinet of progress against the Council's own 2010/2011 Capital budget and the spending programmes where the Council acts as the Accountable Body for the period to 30th September, 2010.
- 1.2 This report considers the following areas: -
- Capital Monitoring;
 - Accountable Body Programme Monitoring.

2. BACKGROUND

- 2.1 In line with previous monitoring reports, this document is an integrated comprehensive document that is page numbered, thus allowing Members easier navigation around the report. (See contents table below). The report provides a summary with the appendices providing detailed information for each portfolio.

Section	Heading	Page
3.	Capital Monitoring 2010/2011	4
4.	Accountable Body Programme	6
5.	Recommendations	6
Appendices A-G	Detailed Spend by Portfolio	7
Appendix H	Accountable Body Monitoring Summary	19
Appendix I	Accountable Body Revenue Monitoring	20

- 2.2 This report will be submitted to Scrutiny Co-ordinating Committee for review at the earliest opportunity.

3. CAPITAL MONITORING 2010/2011

- 3.1 Expenditure for all Portfolios is summarised below. Actual expenditure to 30th September, 2010, totals £15,703,000, compared to the approved budget of £51,937,000, leaving £28,681,000 remaining expenditure expected to be spent in 2010/2011. This is not unusual for this time of year as there is a lead in time for individual capital schemes.

- 3.2 It is currently anticipated that £7,592,000 will be rephased into 2011/2012. This expenditure relates to a variety of Schools projects totalling £5,681,000 including £2,328,000 for Jesmond Road School and £1,500,000 for North/Central Housing renewal which is part of the Community Safety and Housing Capital Programme.
- 3.3 The table shows an adverse variance in Culture, Leisure and Tourism mainly owing to additional expenditure within the Mill House refurbishment scheme and expenditure on Wingfield Castle. The amount will be funded from Revenue Contribution of £55,000, which was included in the revenue report brought to your last meeting

Portfolio	2010/2011 Budget	2010/2011 Actual to 30/09/2010	2010/2011 Expenditure Remaining	2010/2011 Expenditure Rephased to 2011/2012	2010/2011 Expenditure	2010/2011 Variance from budget Adverse/ (Favourable) £'000
	£'000	£'000	£'000	£'000	£'000	£'000
Adult & Public Health Services	1,785	234	1,552	0	1,786	0
Children's Services	21,477	4,264	11,508	5,681	21,453	-24
Community Safety & Housing	14,975	6,396	7,040	1,540	14,976	1
Culture, Leisure & Tourism	2,361	804	1,612	0	2,416	55
Finance & Procurement	6,590	2,850	3,745	0	6,595	5
Performance	592	18	574	0	592	0
Regeneration & Economic Development	4,157	1,137	2,650	371	4,158	1
Total Capital Expenditure	51,937	15,703	28,681	7,592	51,976	38

- 3.4 The above table is supported by individual detailed statements by Portfolio, as set out below.

Appendix A - Adult & Public Health Services
 Appendix B - Children's Service
 Appendix C - Community Safety & Housing
 Appendix D - Culture, Leisure & Tourism
 Appendix E - Regeneration & Economic Development
 Appendix F - Finance & Procurement
 Appendix G - Performance

- 3.5 The format of the appendices shows details of anticipated and actual capital expenditure as at 30th September, 2010 and shows:

Column A - Scheme Title
 Column B - Budget for Year
 Column C - Actual expenditure to 30th September, 2010
 Column D - Expected remaining expenditure to be incurred in the period April to September, 2010

Column E - Expenditure Rephased into 2011/2012
 Column F - 2010/2011 Total Expenditure
 Column G - Variance from Budget
 Column H - Type of financing

- 3.6 Detailed analysis of all schemes on each appendix is on deposit in the Members' Library.

4. ACCOUNTABLE BODY PROGRAMME

- 4.1 The Council acts as Accountable Body for the Hartlepool New Deal for Communities (NDC). As part of its role as Accountable Body the Council needs to be satisfied that expenditure is properly incurred and is progressing as planned.

New Deal for Communities (NDC)

The programme is currently forecasting to fully spend the current years NDC allocation of £1,188,000. There is also another £1,100,000 expenditure forecast which is funded through other grants, giving a total budget of £2,288,000 for the current financial year as shown in **Appendix H**.

Appendix F Table 2 and **Appendix I** show the latest budget allocations against this target and expenditure as at 30th September, 2010.

- 4.2 There are no major items to bring to Portfolio Holder's attention and expenditure is expected to be on target at year-end

5. RECOMMENDATIONS

- 5.1 It is recommended that Cabinet notes the contents of the report.

CAPITAL MONITORING REPORT PERIOD ENDING 30th SEPTEMBER 2010

Project Code	A	EXPENDITURE IN CURRENT YEAR							2010/2011 COMMENTS
		B	C	D	E	F	G	H	
	Scheme Title	2010/2011 Budget £'000	2010/2011 Actual as at 30/09/10 £'000	2010/2011 Expenditure Remaining £'000	Expenditure Rephased into 2011/12 £'000	C+D+E 2010/2011 Total Expenditure £'000	F-B 2010/2011 Variance from budget £'000	Type of financing	
7229	Stranton Cemetery Flooding Works	13	0	13	0	13	0	UDPB	
7234	Chronically Sick & Disabled Adaptations	126	9	117	0	126	0	MIX	
7389	Mental Health Projects	490	0	490	0	490	0	SCE(R)	
7441	Adult Education - Neighbourhood Learning in Deprived Communities Fund	4	0	4	0	4	0	GRANT	
7481	Improving Information Management (IIM) - IT Infrastructure	45	21	24	0	45	0	GRANT	
7531	Adult Education - Office Accommodation	14	13	1	0	14	0	GRANT	
7578	Lynn Street ATC Demolition	11	0	11	0	11	0	RCCO	
7622	Adult Education- Capital Equipment Replacement	37	0	37	0	37	0	GRANT	
7723	Resettlement/ Campus Works - Capital Grant	430	0	430	0	430	0	GRANT	
7983	Blakelock Day Centre Demolition	85	7	78	0	85	0	CAPREC	
8091	North Cemetery - Improvements to Entrance	26	7	19	0	26	0	UCPB	
8100	North Cemetery - Structural Refurbishment to Wall	60	0	60	0	60	0	UDPB	
8108	Havelock Centre for Independent Living	370	123	247	0	370	0	UCPB	
8115	Havelock Day Centre - Window Replacement.	65	54	11	0	65	0	UCPB	
8217	Waverley Terrace Community Allotments - Composting Toilets	10	0	10	0	10	0	RCCO	
		1,785	234	1,552	0	1,786	0		

Key			
RCCO	Revenue Contribution towards Capital	GRANT	Grant Funded
MIX	Combination of Funding Types	CAP REC	Capital Receipt
UCPB	Unsupported Corporate Prudential Borrowing	UDPB	Unsupported Departmental Prudential Borrowing
SCE ®	Supported Capital Expenditure (Revenue)	SPB	Supported Prudential Borrowing

CAPITAL MONITORING REPORT PERIOD ENDING 30th SEPTEMBER 2010

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2010/2011 COMMENTS
		B	C	D	E	F	G	H	
		2010/2011 Budget £'000	2010/2011 Actual as at 30/09/10 £'000	2010/2011 Expenditure Remaining £'000	Expenditure Rephased into 2011/12 £'000	C+D+E 2010/2011 Total Expenditure £'000	F-B 2010/2011 Variance from budget £'000	Type of financing	
7027	Harnessing Technology Grant	372	50	322	0	372	0	Grant	Mini-Bus purchased in 2009/10 - remaining balance to be transferred to Carlton (7863)
7032	Carlton Outdoor Centre - Purchase of Minibus	2	0	2	0	2	0	Grant	
7088	Jesmond Road - Build New School (Primary Capital Programme)	6,597	927	3,342	2,328	6,597	0	Mix	
7088	Rossmere - Remodel School (Primary Capital Programme)	1,360	23	970	367	1,360	0	Mix	
7108	EDC Alterations to Accommodate PRU	0	3	3	0	6	6	Grant	
7109	Brierton - Alterations re Dyke House Decant	750	270	480	0	750	0	MIX	Note 1
7121	EDC/PRU - Paving and Lighting Replacement	5	1	4	0	5	0	Grant	
7122	EDC/PRU - Installation of Porch/Canopy	4	0	4	0	4	0	Grant	
7124	Rossmere - Replace Nursery Roof	12	0	12	0	12	0	Grant	
7125	Clavering - Install Security Fencing	8	0	8	0	8	0	Grant	
7344	Brinkburn Pool - Reinstatement of Pool after Fire	1	0	1	0	1	0	Mix	Some slippage expected as schools have identified funding towards proposed projects in 2011/12
7384	Devolved Formula Capital - Various Misc Individual School Projects	904	306	248	350	904	0	Grant	
7388	Sure Start Central - Improvement Works at Lowthian Road	2	0	2	0	2	0	Mix	
7421	School Travel Plans - Develop Cycle Storage at Various Schools	66	0	25	41	66	0	Mix	
7437	Playing for Success - Develop New Classroom at Hartlepool United	1	0	0	1	1	0	Mix	
7463	Youth Capital Fund - Spend to be determined by Young People	20	0	20	0	20	0	Grant	Balance to be used towards refurbishment of toilets & showers at Rossmere Youth Centre
7469	Kingsley - Extension to School for Children's Centre	14	0	14	0	14	0	Grant	
7469	Unallocated - Children's Centre Grant	8	0	8	0	8	0	Grant	
7500	High Tunstall - Refurbish Classrooms / Equipment Purchase	28	0	28	0	28	0	Grant	
7533	Jesmond Rd - Relocate Nursery to form Foundation Unit, installation of ramps & internal works	6	0	6	0	6	0	Mix	
7575	Dyke House ICT Equipment Purchase	72	72	0	0	72	0	RCCO	Scheme completed in 2008/09 - Funding remaining is Children's Centre Grant so will transfer balance into 7469 - Unallocated Children's Centre Grant.
7586	City Learning Centre Equipment Purchase	299	110	189	0	299	0	Grant	
7597	St John Vianney Starfish Daycare Outside Play Area	4	0	4	0	4	0	Mix	
7598	West View - Improve / Refurbish Nursery & Reception	11	0	0	0	0	-11	Grant	
7664	Clavering - Create New Foundation Stage Unit	2	0	2	0	2	0	Grant	
7763	Stranton - Replace Windows (07/08)	4	0	0	0	0	-4	Grant	This project along with 8055 and 8089 were funded from 2009/10 Corporate Health & Safety funds; there is an overall net underspend of £24k which will be transferred back to Corporate Health & Safety.
7853	Rossmere Youth Centre - Boiler Replacement	55	56	0	0	56	1	UCPB	
7858	Computers for Pupils - Schools Initiative	7	0	7	0	7	0	Grant	
7863	Carlton Outdoor Centre - Redevelopment (Works to be determined)	90	2	88	0	90	0	Mix	
7888	Stranton - Purchase & Install CCTV	2	0	2	0	2	0	RCCO	
7912	Manor - Replace External Doors to Improve Security	3	0	0	0	0	-3	Mix	Slight overspend to be funded from Unallocated/Contingency
7922	Golden Flatts - Heating Distribution system	60	45	15	0	60	0	Grant	
7979	Children's Centres - General Building Improvements	16	4	12	0	16	0	Grant	
7997	St Hilds - Build Space to Learn	862	833	33	0	866	4	Grant	
8001	Capital Grants to External Nurseries (Early Years)	190	190	0	0	190	0	Grant	
8023	Sure Start Central (Chatham Hse) - Café Ext to Community Facilities	18	0	18	0	18	0	Grant	To be funded from Children's Centre Grant
8023	Sure Start North (Hindpool CI) - Café Ext to Community Facilities	62	63	0	0	63	1	Grant	
8055	Education Development Centre - Window Replacement	7	1	0	0	1	-6	UCPB	
									This project along with 7853 and 8089 were funded from 2009/10 Corporate Health & Safety funds; there is an overall net underspend of £24k which will be transferred back to Corporate Health & Safety.

Project Code	A	EXPENDITURE IN CURRENT YEAR							2010/2011 COMMENTS
		B	C	D	E	F	G	H	
	Scheme Title	2010/2011 Budget £'000	2010/2011 Actual as at 30/09/10 £'000	2010/2011 Expenditure Remaining £'000	Expenditure Rephased into 2011/12 £'000	C+D+E 2010/2011 Total Expenditure £'000	F-B 2010/2011 Variance from budget £'000	Type of financing	
8056	Eldon Grove - Creation of Additional Teaching Space	500	0	0	500	500	0	Mix	
8059	Hart - Create Multi-purpose Studio	119	0	30	89	119	0	Grant	
8060	Rift House - Annexe 2 Heating	17	0	17	0	17	0	Grant	
8065	Emergency Response - Contingency	20	0	20	0	20	0	Mix	
8066	Brougham - Replacement of Gas Interlocks	5	0	5	0	5	0	SCE R	
8066	Eldon Grove - Replacement of Gas Interlocks	5	0	5	0	5	0	SCE R	
8066	Hart - Replacement of Gas Interlocks	5	0	5	0	5	0	SCE R	
8066	Lynnfield - Replacement of Gas Interlocks	6	0	6	0	6	0	SCE R	
8066	Rift House - Replacement of Gas Interlocks	7	0	7	0	7	0	SCE R	
8066	Throston - Replacement of Gas Interlocks	5	0	5	0	5	0	SCE R	
8067	Ward Jackson - Creation of Quiet Room	5	2	3	0	5	0	Mix	
8068	Hart - Replace Fire Alarm System	20	11	9	0	20	0	Grant	
8069	Springwell - Replace Pool	11	17	0	0	17	6	Mix	Overspend to be funded from Unallocated/Contingency
8070	Brinkburn Pool - Motorised Pool Cover	1	0	1	0	1	0	RCCO	
8072	Integrated Children's System Case Management Improvement	45	0	0	45	45	0	Grant	
8075	Aiming High for Disabled Children - Capital Grant for various Works	110	6	104	0	110	0	Grant	
8082	Golden Flatts - Resource Learning Centre	15	9	6	0	15	0	Grant	
8089	Education Development Centre - Roof Replacement with enhanced roofing system	23	4	0	0	4	-19	UCPB	This project along with 8055 and 7853 were funded from 2009/10 Corporate Health & Safety funds; there is an overall net underspend of £24k which will be transferred back to Corporate Health & Safety.
8092	Fens - Outdoor Educational Area for Foundation Unit	14	0	14	0	14	0	Grant	
8093	Golden Flatts - Establish Nurture Area	6	0	6	0	6	0	Grant	
8096	Throston - DDA Access Ramps	0	1	0	0	1	1	Grant	Final Payment for 2009/10 scheme to be funded from Unallocated/Contingency
8097	Early Years (General Sure Start Grant) Unallocated	6	0	6	0	6	0	Grant	
8103	Brinkburn Pool - Access and Hoist	65	3	0	62	65	0	RCCO	The scheme has been postponed this year and is subject to the outcome of a service review focusing on primary school swimming lesson provision
8116	Springwell - Covered Link Way	22	0	22	0	22	0	Mix	
8118	Holy Trinity - Outdoor Area	25	25	0	0	25	0	Mix	
8119	Rift House - Internal Reorganisation	100	0	25	75	100	0	Mix	
8120	Lynnfield - Improve Teaching Space	120	0	30	90	120	0	Grant	
8125	Stranton - Replace Floor Caretaker's Bungalow	14	8	6	0	14	0	Mix	
8138	BSF- ICT Contract	1,500	0	743	757	1,500	0	Grant	
8139	BSF- Dyke House	4,368	996	3,372	0	4,368	0	Grant	
8158	Children's Centre (Rossmere) - Install New Kitchen	27	23	4	0	27	0	Grant	
8159	Sure Start Central - Outside Classroom	7	6	1	0	7	0	Grant	
8160	St John Vianney Starfish Daycare New entrance / Buggy Area	35	1	34	0	35	0	Mix	
8169	Sure Start North - Install Conservatory	40	0	40	0	40	0	Grant	
8174	Barnard Grove - KS1 Fire Alarm Installation	25	1	24	0	25	0	Grant	Note 1
8175	Barnard Grove - Heating Connect Annexe to KS2	24	0	24	0	24	0	Grant	Note 1
8176	Barnard Grove - Replace Bungalow Floor	15	0	15	0	15	0	Grant	
8177	Barnard Grove - Replace KS2 Roof	60	0	60	0	60	0	Grant	Note 1
8178	Brougham - Replace Boiler (Phase 2 10/11)	105	52	53	0	105	0	Grant	Note 1
8179	Catcote - Replace Boiler	65	0	65	0	65	0	Mix	
8180	Clavering - Replace Bungalow Heating	5	0	5	0	5	0	Grant	
8181	Clavering - Replace Boiler House Roof	14	0	14	0	14	0	Grant	Note 1
8182	Eldon Grove - Replace Boiler and distribution system	89	53	36	0	89	0	Grant	Note 1
8183	Grange - Annexe Fire Alarm Installation	5	0	0	5	5	0	Grant	
8184	Hart - Replace Fence	15	0	0	15	15	0	Grant	Note 1
8185	Kingsley - Replace Kitchen	40	0	40	0	40	0	Grant	Note 1
8186	Kingsley - Replace 1st floor windows	22	0	22	0	22	0	Mix	Note 1

Project Code	A	EXPENDITURE IN CURRENT YEAR							2010/2011 COMMENTS
		B	C	D	E	F	G	H	
	Scheme Title	2010/2011 Budget £'000	2010/2011 Actual as at 30/09/10 £'000	2010/2011 Expenditure Remaining £'000	Expenditure Rephased into 2011/12 £'000	C+D+E 2010/2011 Total Expenditure £'000	F-B 2010/2011 Variance from budget £'000	Type of financing	
8187	Owton Manor - Replace 1st floor windows	75	0	75	0	75	0	Grant	
8188	Rossmere - Replace KS2 Toilets	30	0	30	0	30	0	Grant	
8189	Springwell - Roof replacement	28	0	28	0	28	0	Grant	Note 1
8190	Stranton - KS1 Replacement wiring	24	17	7	0	24	0	Mix	Note 1
8191	Stranton - Replace KS1 Windows	34	26	8	0	34	0	Grant	Note 1
8192	St Helens - Replace Corner Posts	25	4	21	0	25	0	Mix	
8193	Throston - Window replacement	88	2	86	0	88	0	Grant	Note 1
8194	Ward Jackson - Window replacement	29	21	8	0	29	0	Grant	Note 1
8195	West Park - Heating distribution Ph 2	20	0	20	0	20	0	Mix	Note 1
8196	West Park - Bungalow Access works	7	0	7	0	7	0	Grant	
8197	West Park - Roof Replacement	17	0	17	0	17	0	Grant	Note 1
8198	West View - Replace Heating Distribution System	78	0	78	0	78	0	Mix	
8199	West View - Kitchen Replacement	56	0	56	0	56	0	Mix	Note 1
8200	West View - KS1 & KS2 Window replacement	70	4	66	0	70	0	Mix	
8201	Brougham - Improve Internal Access	50	0	50	0	50	0	Grant	
8202	Grange - Replace Classroom Annexe	400	0	0	400	400	0	Mix	
8203	Owton Manor - Improve Foundation Stage Outdoor area	50	0	13	37	50	0	Grant	
8205	Springwell - Create Enterprise area and Cyber Café	60	0	15	45	60	0	Mix	
8206	St Helens - Interior Remodel	157	0	39	118	157	0	Mix	Note 1
8207	Stranton - Improve Outdoor Learning Area	22	0	22	0	22	0	Grant	
8208	Ward Jackson -Create Foundation Unit	60	0	15	45	60	0	Grant	
8209	West Park - Improve Reception class toilet area	10	0	10	0	10	0	Grant	
8218	Youth Service - Purchase Portable MUGA & Trailer	23	16	7	0	23	0	Mix	
8281	Catcote - Purchase & Install Temporary Classroom	60	0	60	0	60	0	Grant	
8283	Springwell - Install Ventilation System in Pool Area	5	0	5	0	5	0	Mix	
9004	Contingency Funding (Modernisation, Access, RCCO) Currently Unallocated	311	0	0	311	311	0	Mix	
New	Brougham - Install Security Fencing	12	0	12	0	12	0	Grant	
		21,477	4,264	11,508	5,681	21,453	(24)		

NOTES

Note 1 The 2010/11 Schools Capital Programme was approved by the Children's Services Portfolio Holder on 13th April 2010. The approved programme of work was over-committed as a number of costs were indicative allocations only and the contributions from schools assumed the minimum 10% contribution. In many cases school contributions (from their Devolved Formula Capital and/or revenue budgets) have been confirmed as significantly higher than the minimum 10%. In addition, tendered/confirmed prices have been finalised for all of the schemes identified above and this confirmed price is shown above as the budgeted cost against which actual expenditure will be monitored. The effect of both increased school contributions and lower overall costs has been that the 2010/11 programme is now within budget and the Contingency budget (9004) has increased from the approved £200k.

Key			
RCCO	Revenue Contribution towards Capital	GRANT	Grant Funded
MIX	Combination of Funding Types	CAP REC	Capital Receipt
UCPB	Unsupported Corporate Prudential Borrowing	UDPB	Unsupported Departmental Prudential Borrowing
SCE ®	Supported Capital Expenditure (Revenue)	SPB	Supported Prudential Borrowing

CAPITAL MONITORING REPORT PERIOD ENDING 30th SEPTEMBER 2010

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2010/2011 COMMENTS
		B	C	D	E	F	G	H	
		2010/2011 Budget £'000	2010/2011 Actual as at 30/09/10 £'000	2010/2011 Expenditure Remaining £'000	Expenditure Rephased into 2011/12 £'000	C+D+E 2010/2011 Total Expenditure £'000	F-B 2010/2011 Variance from budget £'000	Type of financing	
7206	Community Safety Social Lighting Programme	7	0	7	0	7	0	UCPB	
7207	Car Parking Security/CCTV	238	18	180	40	238	0	SPB	
7222	Minor Works - North Area	78	4	74	0	78	0	MIX	
7223	Minor Works - South Area	106	0	106	0	106	0	MIX	
7224	Minor Works - Central Area	38	17	21	0	38	0	MIX	
7252	Safer Streets Initiative	27	8	19	0	27	0	GRANT	
7821	Waste Performance Efficiency - Amenity Site	88	39	50	0	89	1	MIX	
8079	Household Waste Recycling Centre	18	5	13	0	18	0	UDPB	
8127	Community Housing - Charles St	4,412	2,200	2,211	0	4,411	(1)	UDPB	
8128	Community Housing - Seaton Lane	2,431	1,876	556	0	2,432	1	UDPB	
8130	Community Housing - Kipling Road	1,895	310	1,585	0	1,895	0	UDPB	
7083	Hartlepool Business Security Fund	33	28	5	0	33	0	UCPB	
7107	Growth Point Funded Housing Projects	413	6	407	0	413	0	GRANT	
7218	Mandatory Disabled Facilities Grant	640	246	394	0	640	0	GRANT	
7219	Minor Works Grant	70	33	37	0	70	0	GRANT	
7220	Discretionary Renovations Grant	367	31	336	0	367	0	GRANT	
7230	North/Central - Housing Market Renewal	3,479	1,483	496	1,500	3,479	0	GRANT	The rephased element relates to the estimated amount to be carried forward to finance compulsory purchase order (CPO) houseacquisitions in 2011/12.
7231	Thermal Housing Efficiency Measures	79	60	19	0	79	0	GRANT	
7368	Building Safer Communities	3	0	3	0	3	0	GRANT	
7404	Housing Revenue Account (HRA) Residual Expenditure	4	0	4	0	4	0	RCCO	
7431	Community Safety Strategy	151	0	151	0	151	0	UCPB	
7878	Community Safety CCTV Upgrade	64	32	32	0	64	0	MIX	
8083	Drug Action Team - CCTV	0	0	0	0	0	0	UCPB	
8101	Church Street - Integrated Offender Magement Unit Refurbishment	0	0	0	0	0	0	UCPB	
8155	Preventing Repossession Fund	29	0	29	0	29	0	GRANT	
8170	SCRAPT Voluntary Sector Premises Pool	25	0	25	0	25	0	UCPB	
8210	SCRAPT Key Vacant Buildings Grant Scheme	0	0	0	0	0	0	UCPB	
8284	Drugs Action Team (DAT) Tier 4 Accomodation	280	0	280	0	280	0	GRANT	
		14,975	6,396	7,040	1,540	14,976	1		

Key			
RCCO	Revenue Contribution towards Capital	GRANT	Grant Funded
MIX	Combination of Funding Types	CAP REC	Capital Receipt
UCPB	Unsupported Corporate Prudential Borrowing	UDPB	Unsupported Departmental Prudential Borrowing
SCE ®	Supported Capital Expenditure (Revenue)	SPB	Supported Prudential Borrowing

CAPITAL MONITORING REPORT PERIOD ENDING 30th SEPTEMBER 2010

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2010/2011 COMMENTS
		B	C	D	E	F	G	H	
		2010/2011 Budget £'000	2010/2011 Actual as at 30/09/10 £'000	2010/2011 Expenditure Remaining £'000	Expenditure Rephased into 2011/12 £'000	C+D+E 2010/2011 Total Expenditure £'000	F-B 2010/2011 Variance from budget £'000	Type of financing	
7046	Central Library - Revolving Door	4	4	0	0	4	0	UCPB	Scheme complete. Budget increased to cover final payment. Funded by Libraries LPSA reward grant reserve and transfer of other central library scheme underspend from 8073.
7047	Mill House Leisure Centre - Changing Village	223	223	47	0	270	47	MIX	Scheme value increased to carry out approved additional works. Budget increased for funding obtained from Learning Disability Development Fund (£5k), Aiming High (£15k) and specific reserves (£75k). It is proposed to fund the remaining shortfall from Hartlepool PCT Income and managed revenue underspends within Sport & Recreation.
7110	Playbuilder - Grant to be allocated	564	0	599	0	599	35	GRANT	Awaiting central government confirmation of how much this grant will be cut.
7110	Brougham Play Area - Playbuilder	49	5	0	0	5	(44)	GRANT	
7110	Burbank Play Area	11	8	0	0	8	(3)	GRANT	
7110	Burn Valley Gardens (Playbuilder)	4	36	0	0	36	32	GRANT	
7110	Clavering Play Area (Playbuilder)	24	6	0	0	6	(18)	GRANT	
7110	Jutland Road Play Area	23	0	0	0	0	(23)	GRANT	
7110	King George V Play Area	53	43	0	0	43	(10)	GRANT	
7110	Oxford Road Play Area	3	6	0	0	6	3	GRANT	
7110	Rossmere Play Area (Playbuilder)	22	6	0	0	6	(16)	GRANT	
7110	Seaton Carew Play Area, Seaton Park (Playbuilder)	13	23	0	0	23	10	GRANT	
7110	Town Moor Play Area (Playbuilder)	1	6	0	0	6	5	GRANT	
7110	Headland Play Area	0	0	0	0	0	0	GRANT	
7110	Playbuilder Equipment purchased in advance	0	18	0	0	18	18	GRANT	
7110	King Owsy Play Area	0	0	0	0	0	0	GRANT	
7110	Lanark Road Play Area	0	0	0	0	0	0	GRANT	
7375	Countryside Development Works	14	0	14	0	14	0	MIX	
7382	Greatham Play Area Equipment	9	0	9	0	9	0	MIX	
7414	Jutland Road Play Area Upgrade	68	68	0	0	68	0	MIX	
7651	Burn Valley Park Beck	114	0	114	0	114	0	MIX	
7831	Jutland Road Community Centre - Internal Alterations	1	1	0	0	1	0	MIX	
7844	Town Moor - Develop Multi Use Games Area	0	0	0	0	0	0	MIX	
7853	Owton Manor Community Centre - Replace Boiler	35	0	35	0	35	0	UCPB	
7864	Foreshore - Replacement Lifeguard Vehicle	0	0	0	0	0	0	RCCO	
7887	Nicholson Fields Allotments	0	0	0	0	0	0	RCCO	
7890	Rossmere MUGA	0	4	0	0	4	4	GRANT	
7893	New Play Equipment	0	7	0	0	7	7	GRANT	
7990	Ward Jackson Park Bandstand Shutters	4	0	4	0	4	0	MIX	
7991	St Patrick's Shops Multi Use Games Area (MUGA)	0	0	0	0	0	0	RCCO	
7992	Grayfields Sports Junior Pitches	97	90	7	0	97	0	MIX	Budget increased by £21,000 for the utilisation of specific grayfields reserve created in 2009/10 for this purpose.
8009	Throston Allotments Fencing	0	0	0	0	0	0	GRANT	
8010	Ward Jackson Park CCTV & Lights	0	0	0	0	0	0	UCPB	
8011	Summerhill CCTV	14	9	5	0	14	0	MIX	
8019	Mill House Leisure Centre Internal Doors	1	0	1	0	1	0	UCPB	
8021	Museum of Hartlepool Signage	2	2	0	0	2	0	UCPB	
8051	Seaton Carew Community Centre Roof Replacement	9	2	7	0	9	0	UCPB	
8073	Central Library, 1st Floor Lights and Fire Alarm Adaptation	0	0	0	0	0	0	UPCB	Scheme complete. £3,514 remaining budget transferred to 7046 to fund final scheme overspend and 8095 for additional signage at the Central Library.
8084	Mill House Leisure Centre Combined Heating & Power Unit	167	103	64	0	167	0	UPCB	
8087	Wingfield Castle Vehicle Deck Replacement	13	16	5	0	21	8	UCPB	Current adverse scheme variance relates to increased costs owing to adverse weather conditions. It is proposed to fund this variance from a revenue contribution.
8090	Owton Manor Branch Library - Replacement Roof	30	27	3	0	30	0	UPCB	

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		B	C	D	E	F	G	H	
	Scheme Title	2010/2011 Budget £'000	2010/2011 Actual as at 30/09/10 £'000	2010/2011 Expenditure Remaining £'000	Expenditure Rephased into 2011/12 £'000	C+D+E 2010/2011 Total Expenditure £'000	F-B 2010/2011 Variance from budget £'000	Type of financing	
8095	Central Library - Signage	4	0	4	0	4	0	UPCB	Original scheme complete. Funding obtained from 8073 to fund additional signage requirements.
8104	Rossmere MUGA & Skatepark	464	6	458	0	464	0	Mix	
8121	Rossmere Park Re-Development	1	0	1	0	1	0	GRANT	
8211	Central Library - Boiler Replacement	70	0	70	0	70	0	UPCB	
8212	Seaton Carew Sports Hall Roof Replacement	85	85	0	0	85	0	UCPB	
8213	Seaton Carew Community Centre Window Replacement	65	0	65	0	65	0	UCPB	
8216	Seaton Carew Cricket Club	30	0	30	0	30	0	UCPB	
n/a	Skateboard Park	70	0	70	0	70	0	RCCO	
		2,361	804	1,612	0	2,416	55		

RCCO Revenue Contribution towards Capital
MIX Combination of Funding Types
UCPB Unsupported Corporate Prudential Borrowing
SCE ® Supported Capital Expenditure (Revenue)

GRANT Grant Funded
CAP REC Capital Receipt
UDPB Unsupported Departmental Prudential Borrowing
SPB Supported Prudential Borrowing

CAPITAL MONITORING REPORT PERIOD ENDING 30th SEPTEMBER 2010

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2010/2011 COMMENTS
		B	C	D	E	F	G	H	
		2010/2011 Budget £'000	2010/2011 Actual as at 30/09/10 £'000	2010/2011 Expenditure Remaining £'000	Expenditure Rephased into 2011/12 £'000	C+D+E 2010/2011 Total Expenditure £'000	F-B 2010/2011 Variance from budget £'000	Type of financing	
7015	Targeted Private Housing Improvements	18	0	18	0	18	0	CAP REC	The rephased expenditure is the result of the remaining budget relating to long term future monitoring costs.
7045	THI Key Buildings Headland (Heritage/Lottery funding)	60	60	0	0	60	0	GRANT	
7084	Principal Roads Camera Partnership	14	4	10	0	14	0	GRANT	
7120	Hartlepool Active Response Team Vehicles	9	0	9	0	9	0	MIX	
7244	Travel Plans	20	0	20	0	20	0	SPB	
7245	Cycle Parking	5	0	5	0	5	0	SPB	
7250	Travel Awareness	19	0	19	0	19	0	GRANT	
7251	Public Transport CCTV	10	0	10	0	10	0	SPB	
7417	Friarage Field - Building Demolition	5	0	5	0	5	0	RCCO	
7466	Vehicle Procurement	1,905	415	1,490	0	1,905	0	UDPB	
7487	Local Transportation Plan - Monitoring	5	0	5	0	5	0	UCPB	
7508	Anhydrite Mine - Derelict Land	171	0	0	171	171	0	UCPB	
7541	Safer Routes to Schools	108	0	108	0	108	0	GRANT	
7545	Motorcycle Training	20	0	20	0	20	0	GRANT	
7546	Road Safety Education & Training	26	2	25	0	27	1	GRANT	
7580	Highways Remedial Works - Marina	4	0	4	0	4	0	TDC	The budget has been rephased to coincide with the Seaton Master Plan and is expected to be used to finance the purchase and demolition of Longscar Hall.
7581	Tees Valley Boundary Signs	3	0	3	0	3	0	GRANT	
7644	School Travel Plans	16	0	16	0	16	0	SPB	
7645	Local Transport Plan (LTP) General	76	0	76	0	76	0	MIX	
7736	Bus Priority	100	100	0	0	100	0	SPB	
7866	Friarage Manor House	18	0	18	0	18	0	CAP REC	
7895	Industrial & Commercial Business Grants	96	21	75	0	96	0	UCPB	
7896	Brougham Enterprise Centre Toilet & Shower Facilities	20	0	20	0	20	0	UCPB	
7897	Regeneration Match Funding	358	0	358	0	358	0	UCPB	
7959	Other Walking Schemes	18	2	16	0	18	0	SPB	
7961	School 20mph Zones	18	1	16	0	17	(1)	SPB	
7972	Other Traffic Management Schemes	146	43	103	0	146	0	SPB	
7973	Other Safety Schemes	42	42	0	0	42	0	GRANT	
8046	LTP3 Development	38	15	23	0	38	0	GRANT	
8054	Victoria Buildings THI	134	129	5	0	134	0	MIX	The budget has been rephased to coincide with the Seaton Master Plan and is expected to be used to finance the purchase and demolition of Longscar Hall.
8076	Wharton Terrace Improvements	15	0	15	0	15	0	MIX	
8099	Brougham Enterprise Centre - New Enhanced Windows	89	64	26	0	90	1	UCPB	
8107	Acquisition of Crown House	98	51	47	0	98	0	UCPB	
8110	King Oswy Shops - Improvements	6	6	0	0	6	0	UCPB	
8112	Lower Owton Manor Shops - Improvements	0	0	0	0	0	0	UCPB	
8113	Catcote Shops - Improvements	46	46	0	0	46	0	UCPB	
8114	Hartlepool College of FE - Redevelopment	130	130	0	0	130	0	UDPB	
8131	Small Retailers - Partnership Grant	6	6	0	0	6	0	GRANT	
8153	Seaside Grant Funding	200	0	0	200	200	0	GRANT	
8161	Newburn Bridge - Roofing and Replacement of Doors	85	0	85	0	85	0	UCPB	
		4,157	1,137	2,650	371	4,158	1		

Key			
RCCO	Revenue Contribution towards Capital	GRANT	Grant Funded
MIX	Combination of Funding Types	CAP REC	Capital Receipt
UCPB	Unsupported Corporate Prudential Borrowing	UDPB	Unsupported Departmental Prudential Borrowing
SCE ®	Supported Capital Expenditure (Revenue)	SPB	Supported Prudential Borrowing

CAPITAL MONITORING REPORT PERIOD ENDING 30th SEPTEMBER 2010

TABLE 1 - RESOURCES

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2010/2011 COMMENTS
		B	C	D	E	F	G	H	
		2010/2011 Budget £'000	2010/2011 Actual as at 30/09/10 £'000	2010/2011 Expenditure Remaining £'000	Expenditure Rephased into 2011/12 £'000	C+D+E 2010/2011 Total Expenditure £'000	F-B 2010/2011 Variance from budget £'000	Type of financing	
7026	Sir William Gray House - Replace Fire Alarm	50	50	0	0	50	0	MIX	SCRAPT Schemes not commenced yet
7031	Civic Centre - Replace Sprinkler System	2	0	2	0	2	0	MIX	
7036	Unallocated SCRAPT Budget	360	0	360	0	360	0	MIX	
7041	Corporate Planned Maintenance Unallocated	42	0	42	0	42	0	MIX	
7091	City Challenge Clawback	229	0	229	0	229	0	MIX	
7111	Stranton Crematorium Roof Replacement	8	0	8	0	8	0	MIX	
7114	Rossmere Youth Centre - Roof Replacement	63	55	8	0	63	0	MIX	£3k to be returned to Corporate Planned Maintenance (7041)
7115	Civic Centre Ramp	180	0	180	0	180	0	MIX	
7117	Civic Centre Access Control System	72	0	72	0	72	0	MIX	Scheme is more expensive than funding available, project on hold, subject to finding additional funds. Awaiting project costs.
7119	Demolition of Throston Grange Old Peoples Home	2	2	0	0	2	0	CAP REC	
7200	Civic Centre Refurbishment	350	350	0	0	350	0	MIX	
7235	Low Floor Infrastructure	33	6	27	0	33	0	SPB	
7236	Bus Shelter Improvements	20	0	20	0	20	0	SPB	
7237	Cycle Routes (General)	26	24	2	0	26	0	MIX	
7240	Hartlepool Transport Interchange	1,995	1,430	565	0	1995	0	SPB	
7241	Pedestrian Dropped Crossing	34	11	23	0	34	0	SPB	
7242	Other Street Lighting Improvements	80	0	80	0	80	0	MIX	
7257	Disabled Adaptations (Various Locations)	111	17	94	0	111	0	MIX	
7272	Wheely Bin Purchase	45	38	7	0	45	0	UDPB	
7465	Recycling Scheme	9	9	0	0	9	0	UDPB	
7499	Contaminated Land - Lithgo Close	115	4	111	0	115	0	MIX	
7549	Other Bridge Schemes	110	0	110	0	110	0	SPB	
7618	Sale of Briarfields	1	1	0	0	1	0	CAP REC	
7706	Waterproofing Ph2 Multi Storey Car Park	10	1	9	0	10	0	UCPB	
7707	HM Other Schemes (non-LTP)	40	0	40	0	40	0	UCPB	
7734	Hart Lane/Wiltshire Way Junction Improvements 0708	401	118	283	0	401	0	SPB	
7781	Renew Boiler and Heating System - Municipal Buildings	85	0	85	0	85	0	MIX	Project on Hold, subject to SDO review
7835	Primary Health Care Centre Park	18	0	18	0	18	0	CAP REC	
7847	Coast Protection - Headland Fencing & Promenade	2	0	2	0	2	0	CAP REC	
7852	Highways Improvements - TESCO S106 Expend	18	18	0	0	18	0	GRANT	
7867	City Challenge Burbank/Murray Street	86	0	86	0	86	0	MIX	
7891	Strategy Study - Seaton Carew	92	44	48	0	92	0	GRANT	
7892	Strategy Study - Town Wall	65	68	0	0	68	3	GRANT	Funding of this adverse variance will be absorbed from existing resources yet to be determined.
7899	Coast Protection 0809	1	0	1	0	1	0	SPB	
7906	Bryan Hanson House On Street Parking	22	22	0	0	22	0	UDPB	
7965	Catcote Turning Circle Reconstruction	4	0	4	0	4	0	MIX	
7988	Lynn St Garage - Install Overhead Heaters	6	0	6	0	6	0	MIX	£6K to be returned to SCRAPT (7036)
7999	Marina Way Landscaping	34	12	22	0	34	0	RCCO	
7989	Access System - Municipal Buildings	9	0	9	0	9	0	MIX	Project on Hold, subject to SDO review
8006	Access Road to Briarfields	20	0	20	0	20	0	CAP REC	
8015	Tesco New Entrance/Junction/Lights	39	0	39	0	39	0	GRANT	
8027	Carriageway Reconstruction John Howe Gardens/Holdforth Road	8	0	8	0	8	0	GRANT	
8028	Carriageway Reconstruction Wooler Road Roundabout No 49	24	0	24	0	24	0	GRANT	
8033	Resurface Church Square Paved Carriageway	35	33	2	0	35	0	GRANT	
8034	Resurface Outside Civic Centre	16	0	16	0	16	0	GRANT	
8037	Resurface Catcote Road/Oxford Road/Marlowe Road	60	0	60	0	60	0	GRANT	

Project Code	A	EXPENDITURE IN CURRENT YEAR								2010/2011 COMMENTS
		B	C	D	E	F	G	H		
		2010/2011 Budget £'000	2010/2011 Actual as at 30/09/10 £'000	2010/2011 Expenditure Remaining £'000	Expenditure Rephased into 2011/12 £'000	C+D+E 2010/2011 Total Expenditure £'000	F-B 2010/2011 Variance from budget £'000	Type of financing		
8044	Footway Recon - York Road/Victoria Road/Park Road	31	2	30	0	32	1	GRANT		
8045	Footway Recon - Everett Street No 75 to 79	1	1	0	0	1	0	GRANT		
8077	Footpath Resurfacing - Cemetery Road	6	6	0	0	6	0	RCCO		
8081	Non Adopted Highway Areas	26	9	17	0	26	0	UCPB		
8085	Church Street Offices - Install Electrical Distribution System	55	0	55	0	55	0	UCPB		
8102	Church Street - Re-Roof Garage with Enhanced Roofing System	38	38	0	0	38	0	UCPB		
8105	Installation of Staff Welfare Facilities (Civic Centre)	18	0	18	0	18	0	MIX		
8123	Review Strategy Study - North Sands to Newburn Bridge	0	0	0	0	0	0	SPB		
8126	Stockton Street Wall	27	27	0	0	27	0	SPB		
8132	Relocation of Building Management System Equip to Bryan Hanson House	10	1	9	0	10	0	CAP REC		
8133	Removal of Leadbitter Telephone System	2	2	0	0	2	0	CAP REC		
8134	Create Interview Rooms - Municipal Buildings	15	14	1	0	15	0	CAP REC		
8135	Ramps - Accessibility (Church Street offices)	40	23	17	0	40	0	CAP REC		
8136	Removal of Offices - Hanson House	15	16	-1	0	15	0	CAP REC		
8137	Removal of Print Room to Civic Centre	10	0	10	0	10	0	CAP REC		
8141	Installation of Electrical Outlets - Bryan Hanson House	20	7	13	0	20	0	MIX		
8142	School Kitchen Replacements (Various Schools)	215	95	120	0	215	0	MIX		
8151	Resurfacing Works - Bournemouth Drive	1	1	0	0	1	0	SPB		
8156	Mill House Leisure Centre - Hall Lighting	0	0	0	0	0	0	GRANT		
8162	Footpath Renewals	10	0	10	0	10	0	MIX		
8163	Civic Centre Carpet Replacement - Ground Floor	22	4	18	0	22	0	MIX		
8164	Seaton Carew Sports Hall - Replace Heating System	35	0	35	0	35	0	MIX	Project on Hold - pending review of Seaton Carew Sports Hall	
8165	Stranton Nursery - Replace Boiler	70	0	70	0	70	0	MIX		
8166	Maritime Experience - Replace Boilers	25	0	25	0	25	0	MIX		
8167	Automatic Entry Doors - Civic Centre Disability Works	10	0	10	0	10	0	MIX		
8171	Footpath Renewal - Grayfields	10	0	10	0	10	0	MIX		
8172	Footpath Renewal - Central Park	35	0	35	0	35	0	MIX	Project cancelled - £35k to be returned to Corporate Planned Maintenance (7041)	
8173	Voltage Optimisation - Civic Centre	37	37	0	0	37	0	MIX		
8214	Building Management System - Replace Equipment	45	0	45	0	45	0	UCPB		
8215	Lynn Street Depot - Work Shops - Replace Roof	50	0	50	0	50	0	UCPB		
8219	Sale of Jesmond Road School	1	1	0	0	1	0	CAP REC		
8280	Upgrade Sea Defences Seaton	35	1	35	0	36	1	GRANT		
7095	Resurface Cairnston Road	0	0	0	0	0	0	SPB		
7542	Parking Lay Bys	25	0	25	0	25	0	SPB		
7720	Public Conveniences	1	1	0	0	1	0	MIX		
7955	Cycling Advanced Stop Sign	0	0	0	0	0	0	GRANT		
7956	Cycle Route Signage	0	0	0	0	0	0	SPB		
7984	King Owsy Drive Cycleway Improvements	0	0	0	0	0	0	SPB		
8080	Construction of new Saltbarn	0	0	0	0	0	0	UDPB		
8111	Marina Prom LED Lighting Scheme	6	6	0	0	6	0	MIX		
8122	Rift House Street Lighting Improvements	0	0	0	0	0	0	SPB		
8146	Resurfacing Works - Shakespeare Avenue	0	0	0	0	0	0	SPB		
8148	Resurfacing Works - Hylton Road	0	0	0	0	0	0	SPB		
8152	Resurfacing Works - Speeding Drive	0	0	0	0	0	0	SPB		
Various	Carriageway Resurfacing	611	245	366	0	611	0	SPB		
		6,590	2,850	3,745	0	6,595	5			

Key			
RCCO	Revenue Contribution towards Capital	GRANT	Grant Funded
MIX	Combination of Funding Types	CAP REC	Capital Receipt
UCPB	Unsupported Corporate Prudential Borrowing	UDPB	Unsupported Departmental Prudential Borrowing

SCE ® Supported Capital Expenditure (Revenue)

SPB

Supported Prudential Borrowing

Appendix F (cont)

PORTFOLIO : FINANCE & PROCUREMENT**CAPITAL MONITORING REPORT PERIOD ENDING 30th SEPTEMBER 2010****TABLE 2 - NEW DEAL FOR COMMUNITIES**

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2010/2011 COMMENTS
		B	C	D	E	F	G	H	
		2010/2011 Budget £'000	2010/2011 Actual as at 30/09/10 £'000	2010/2011 Expenditure Remaining £'000	Expenditure Rephased into 2011/12 £'000	C+D+E 2010/2011 Total Expenditure £'000	F-B 2010/2011 Variance from budget £'000	Type of financing	
7038	Opening Doors Phase III	99	99	0	0	99	0	NDC	Work not started yet Environmental Works will be spent by year end Will spend full allocation
7050	Osbourne Road Hall	3	3	0	0	3	0	NDC	
7051	Voluntary Sector Premises Pool	5	4	1	0	5	0	NDC	
7054	Crime Premises	14	0	14	0	14	0	NDC	
7061	Business Security Fund	2	2	0	0	2	0	NDC	
7063	CIA Environmental Improvements	39	1	38	0	39	0	NDC	
7079	Home Improvement Project	316	150	166	0	316	0	MIX	
7086	Lynnfield Play Area	15	0	15	0	15	0	NDC	
7065/7070 / 8014	Neighbourhood Management	64	15	49	0	64	0	NDC	
8048	NDC Trust III	231	231	0	0	231	0	NDC	
		788	505	283	0	788	0		

Key

RCCO Revenue Contribution towards Capital
MIX Combination of Funding Types
UCPB Unsupported Corporate Prudential Borrowing
SCE ® Supported Capital Expenditure (Revenue)

GRANT Grant Funded
CAP REC Capital Receipt
UDPB Unsupported Departmental Prudential Borrowing
SPB Supported Prudential Borrowing

CAPITAL MONITORING REPORT PERIOD ENDING 30th SEPTEMBER 2010

Project Code	A	EXPENDITURE IN CURRENT YEAR							2010/2011 COMMENTS
		B	C	D	E	F	G	H	
	Scheme Title	2010/2011 Budget £'000	2010/2011 Actual as at 30/09/10 £'000	2010/2011 Expenditure Remaining £'000	Expenditure Rephased into 2011/12 £'000	C+D+E 2010/2011 Total Expenditure £'000	F-B 2010/2011 Variance from budget £'000	Type of financing	
7048	Unallocated Health & Safety Issues	20	0	20	0	20	0	MIX	
7468	IT Strategy	500	0	500	0	500	0	MIX	
7623	Corporate IT Projects	57	13	44	0	57	0	MIX	
7631	Members ICT/Remote Access	5	5	0	0	5	0	MIX	
8143	Council Tax Demand Notices	10	0	10	0	10	0	MIX	
		592	18	574	0	592	0		

Key			
RCCO	Revenue Contribution towards Capital	GRANT	Grant Funded
MIX	Combination of Funding Types	CAP REC	Capital Receipt
UCPB	Unsupported Corporate Prudential Borrowing	UDPB	Unsupported Departmental Prudential Borrowing
SCE ®	Supported Capital Expenditure (Revenue)	SPB	Supported Prudential Borrowing

ACCOUNTABLE BODY PROGRAMMES - REPORT TO 30TH SEPTEMBER 2010

Line No	2010/11 Latest Budget	Accountable Body Programme	Actual Position 30/09/10			Projected Outturn Variance	2010/2012 COMMENTS
			2010/11 Expected Expenditure/ (Income) Col. D	2010/11 Actual Expenditure/ (Income) Col. E	Variance: Adverse/ (Favourable) Col. F = (F=E-D) £'000		
Col. A	Col. B	Col. C	£'000	£'000	£'000	£'000	
		TABLE 1 - New Deal for Communities					
1	1,500	Revenue Projects	833	673	(160)	0	
2	788	Capital Projects	505	505	0	0	
3	2,229	Total NDC	1,338	1,178	(160)	0	

PORTFOLIO : FINANCE & PROCURMENT

Appendix I

ACCOUNTABLE BODY REVENUE MONITORING REPORT PERIOD ENDING 30th SEPTEMBER 2010
TABLE 1 - NEW DEAL FOR COMMUNITIES

Line No	2010/11 Budget	Description of Best Value Unit	Actual Position 30/09/10			Projected Outturn Variance	2010/2011 COMMENTS
			Forecast Expenditure / (Income)	Actual Expenditure/ (Income)	Variance Adverse/ (Favourable)		
Col. A	Col. B	Col. C	Col. D	Col. E	Col. F (F=E-D)		
	£'000		£'000	£'000	£'000	£'000	
1	35	Anti Social Behaviour	17	15	(2)	0	
2	20	Back to Work Grant	16	16	0	0	
3	8	Business Support Manager	6	6	0	0	
4	115	Children's Learning and Activities project	64	64	0	0	
5	60	Communications Project	30	30	0	0	
6	34	Community Development Work	17	13	(4)	0	
7	142	Community Housing Plan Delivery Costs 2008-11	142	142	0	0	
8	53	Community Learning Centre - Lynnfield	0	0	0	0	
9	2	Community Transport	1	1	0	0	
10	94	Crime Premises	47	27	(20)	0	Note 1
11	1	Enterprise Support Scheme	1	1	0	0	
12	28	Evaluation Project	21	21	0	0	
13	10	Family Support	10	10	0	0	
14	22	KS3 Sustaining Performance	0	0	0	0	
15	15	Longhill - Site Manger	15	15	0	0	
16	2	Lynnfield Play Area	12	12	0	0	
17	446	Management & Administration	220	155	(65)	0	Note 1
18	263	Neighbourhood Management Phase II	130	108	(22)	0	Note 1
19	81	Raising Aspirations	40	19	(21)	0	Note 1
20	2	Resident Association Support	1	0	(1)	0	
21	2	Resident Steering Group (RSG) Laptops	1	0	(1)	0	
22	45	Selective Licensing in the Private Rented Sector	24	0	(24)	0	Note 1
23	5	Sustaining Consultancy Fund	4	4	0	0	
24	14	Youth Enterprise Scheme	14	14	0	0	
	1,500		833	673	(160)	0	

CABINET REPORT

22nd November, 2010



Report of: Corporate Management Team

Subject: QUARTER 2 – CORPORATE PLAN AND
REVENUE FINANCIAL MANAGEMENT
REPORT 2010/2011

SUMMARY

1. PURPOSE OF REPORT

1.1 To inform Cabinet of: -

- The progress made towards achieving the Corporate Plan Actions in order to provide timely information and allow any necessary decisions to be taken;
- To provide details of progress against the Council's overall revenue budget for 2010/2011.

2. SUMMARY OF CONTENTS

2.1 The report describes progress towards achieving the actions within the Corporate Plan using the traffic light system of Green, Amber and Red. The report provides an overview of Council performance, with separate sections providing more detailed information for each Portfolio Holder to consider.

2.2 The Revenue Budget Monitoring report covers the following areas:

3. RELEVANCE TO CABINET

Cabinet has overall responsibility for the monitoring of the Council's Corporate Plan and the Revenue budget.

4. TYPE OF DECISION

None.

5. DECISION MAKING ROUTE

Cabinet 22nd November, 2010.

6. DECISION(S) REQUIRED

Cabinet is asked to: -

- Note the current position with regard to performance and revenue monitoring;

Report of: Corporate Management Team

Subject: QUARTER 2 – CORPORATE PLAN AND
REVENUE FINANCIAL MANAGEMENT
REPORT 2010/2011

1 PURPOSE OF REPORT

- 1.1 To inform Cabinet of the progress made towards achieving the Corporate Plan outcomes through identified actions and of progress against the Council's own 2010/2011 Revenue Budget, for the period to 30th September, 2010.

2 BACKGROUND

- 2.1 In line with previous monitoring reports, this report is an integrated document that is page numbered, thus allowing Members easier navigation around the report. (See contents table below). The report firstly provides an overall picture of performance and progress against the approved 2010/2011 revenue budget.

Section	Heading	Page
3.	Overall Performance and Progress on Actions and Performance Indicators	5
	Detailed Performance Monitoring Sections	
4.	Adult and Public Health Portfolio	5
5.	Children's Services Portfolio	6
6.	Culture, Leisure and Tourism Portfolio	8
7.	Performance Portfolio	8
8.	Finance and Procurement Portfolio	9
9.	Transport and Neighbourhoods Portfolio	10
10.	Regeneration and Economic Development Portfolio	11
11.	Community Safety and Housing	13
12.	Revenue Financial Management Information	16
13.	Conclusions	21
14.	Recommendations	21

- 2.2 This report will be submitted to Scrutiny Co-ordinating Committee on 3rd December, 2010.

3 OVERALL PERFORMANCE AND PROGRESS ON ACTIONS AND PERFORMANCE INDICATORS

3.1 The Council identified 108 actions with specific completion dates and 121 performance indicators (PIs) as measures of success in the 2010/2011 Corporate Plan. Overall performance is good, and in line with expectations with 97% of actions and 87% of the PIs (when annually reported PIs have been removed) judged to be either on or above targets. An explanation of the traffic lights can be found below. Tables 1 and 2 below summarise officers' views on progress as at 30th September, 2010, for each Portfolio Holder's responsibilities: -



Action has not been completed or PI target not achieved



Action/PI where intervention is required as not progressing well



Action/PI progress is acceptable



Action/PI on track to achieve



Action/PI completed or target achieved

Table 1 – Progress on Actions within the Corporate Plan

Portfolio	Actions by Traffic Light					
	Green (on track or achieved)		Amber (progress acceptable)		Red (not achieved or intervention required)	
	No.	%	No.	%	No.	%
Adult Services and Public Health	10	100	0	0	0	0
Children's Services	26	90	2	7	1	3
Culture, Leisure and Tourism	5	100	0	0	0	0
Performance	19	76	6	24	0	0
Finance and Procurement	8	80	2	20	0	0
Transport and Neighbourhoods	10	91	1	9	0	0
Regeneration and Economic Development	7	80	0	0	1	20
Community Safety and Housing	6	60	3	30	1	10
Total	91	85	14	13	3	2

Table 2 – Progress on Performance Indicators

Portfolio	PIs by Traffic Light					
	Green (on track or achieved)		Amber (progress acceptable)		Red (not achieved or intervention required)	
	No.	%	No.	%	No.	%
Adult Services and Public Health	5	83	1	17	0	0
Children's Services	3	100	0	0	0	0
Culture, Leisure and Tourism	1	100	0	0	0	0
Performance	0	0	0	0	0	0
Finance and Procurement	1	100	0	0	0	0
Transport and Neighbourhoods	9	82	1	9	1	9
Regeneration and Economic Development	5	50	1	10	4	40
Community Safety and Housing	8	57	5	36	1	7
Total	32	70	8	6	6	13

*figure may not always add to 100% due to rounding

DETAILED PERFORMANCE MONITORING SECTIONS

4 ADULT AND PUBLIC HEALTH PORTFOLIO - Performance Update for the Period Ending 30th September, 2010

- 4.1 Within the Adult and Public Health Portfolio there are a total of 10 actions identified in the 2010/2011 Corporate Plan. All 10 actions have been assessed as being on target for completion within the timescale. No actions required intervention at this point in the year.
- 4.2 With regards to PIs within the Corporate Plan, 2 have already achieved their target with are further 4 being on track or achieving acceptable progress.
- 4.3 Key areas of progress made to date in the Adult and Public Health Portfolio include: -
- Hartlepool Stop Smoking service exceeded 4 week target in 2009/2010. This service is top performing in the country. The Smoke Free Alliance continues to work with FRESH to reduce illicit tobacco sales.
 - The Obesity Partnership has now been re-launched as the Healthy Weight Healthy Life partnership with new terms of reference and strengthened membership and is overseeing implementation of a range of healthy eating indicatives.
 - The proportion of eligible people receiving a personal budget continues to increase and the position at 30th August, 2010 was 63.6% (an increase from 58.6% in April, 2010). The Personal Health Budgets pilot is now operational and recruiting patients, and has recently been given the power to

offer health direct payments to people with continuing health care needs.

- The Mental Health Local Implementation team highlighted that due to Government changes it is acknowledged that New Horizons is an old Government policy. While it is felt that the principles and commitment will remain the same, we await the new Government's direction. A meeting will be held with the main providers across the town to ensure good working practices continue (Sept). Community Consultation Group has reformed with new Chair (Stefan Wright) meeting arranged to discuss communication channels to enable sharing of information.

5 CHILDREN'S SERVICES PORTFOLIO - Performance Update for the Period ending 30th September, 2010

- 5.1 Within the Children's Services Portfolio there are 29 actions identified in the 2010/2011 Corporate Plan. A total of 23 of these actions are on target for completion, 2 are making acceptable progress and 3 have been completed. One action requires intervention:

Actions assessed as requiring intervention

Outcome: Be Healthy			
Code	Action	Due Date	Note
CADHW017	Work with partner agencies, young people, schools and families to reduce under 18 conception rates by 55% from 1998 baseline and improve sexual health	31/03/2011	<p>Recently published under 18 conception rates show a slight reduction in the under 18 conception rate for Hartlepool 65.9% per 1000 females aged 15 - 17 years. This demonstrates a 12.9% change in the rate from the baseline in 1998 which was 75.6%.</p> <p>The Teenage Pregnancy Partnership Board has agreed the multi agency Teenage Pregnancy action plan for implementation during 2010/11. Current priorities include:</p> <ul style="list-style-type: none"> • Reducing 2nd under 18 conceptions by implementing a contraceptive pathway for young women who have had an abortion or become a young mother • Embedding a risk and resilience programme into secondary schools this will replace traditional sex & drug education by combining risk taking behaviour and underpinning with emotional

			<p>resilience.</p> <ul style="list-style-type: none"> • Early identification of young people at risk of teenage pregnancy by utilising the learning from the North East Improvement and Efficiency Partnership (NEIEP) Outcome Based Planning project.
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5.2 All but three PIs in the Corporate Plan are measure on an annual basis but these three quarterly PIs have achieved their targets.

5.3 Key areas of progress made to date in the Children's Services Portfolio include: -

- Percentage of young people NEET is 6.5% against a target of 7.6%. The team will be participating in NEET Reduction Activity (solely) for the duration of week commencing 25th October, 2010 to 29th October, 2010. The focus of the Week will be based on the Not Known Cohort. The Not Known figure is currently 5.6%. Addressing the Not Known cohort will give a clearer reflection of the NEET figure and support planned engagement between November and January. The team will be working to a plan during this period to best support meeting the NEET Target. The introduction of Foundation Learning at present has not impacted on the NEET figure however this may change over the Christmas period as young people review their situation.
- A rewrite of the local Participation Strategy is underway. In the interim the Integrated Youth Support Service continues to ensure that young people locally have opportunities to participate in local decision making processes and shape local service delivery. Key activities over the quarter have been the coming together of Secondary School Forums, Youth Parliament activities, participation in Children's Services Scrutiny Forum and continued development of the Children's Trust User Group and the support of the Grant Givers group who are now allocating monies to local projects who wish to extend their services to young people locally.
- The action of developing preventative and early intervention services and support to avoid the need for more intensive intervention from statutory services is underway. However, the process in the North of Hartlepool has been delayed due to a lack of clarity regarding funding for services in 2011/2012. This process will now be established later in the year after the government spending review. The team around the school continues to raise regional and national interest with Hartlepool Officers being invited to do presentations across the country.

6 CULTURE, LEISURE AND TOURISM PORTFOLIO - Performance Update for the Period Ending 30th September, 2010

- 6.1 Within the Culture, Leisure and Tourism Portfolio there are a total of 5 actions that were identified in the 2010/2011 Corporate Plan. All of these actions have been assessed as being on target for completion by the agreed date.
- 6.2 Only one performance indicators is measured on a quarterly basis and this PI is on track to achieve its target. The remaining PIs are measured annually
- 6.3 Key areas of progress made to date in the Culture, Leisure and Tourism Portfolio include: -
- The Hartlepool Civic Society in October awarded the Seaton Playbuilder Scheme with a Certificate of merit for its innovative environmental enhancement to facilities in the park. Members of the project team were present at the annual evening event to receive the award and say a few words about the important contribution made by local communities and the children of Hartlepool that ensured all nine year one schemes were a success.
 - The first draft for Sports and activity strategy is expected to be presented to the Community Activities Network steering group on the 13th October for discussion before going out for public consultation. All members of the steering group, key partners, sports clubs and youth clubs have been consulted with to date. Six bids have been submitted to the October funding sub group. Four have been put forward for recommendation to the CAN, one bid deferred and one declined

7 PERFORMANCE PORTFOLIO - Performance Update for the Period Ending 30th September, 2010

- 7.1 Within the Performance Portfolio there are a total of 25 actions within the 2010/2011 Corporate Plan. A total of 19 of these actions have been assessed as having been completed or on target to be completed by the agreed date. A further 6 actions are performing at an acceptable level.
- 7.2 There are no PIs reported on a quarterly basis for the Performance Portfolio, all are measured on an annual basis.
- 7.3 Key areas of progress made to date in the Performance Portfolio include: -

- There have been no announcements on the future of LAAs from central government however it is anticipated that local areas will be expected to prepare their own partnership performance management framework. Planning work is currently underway and a review of the outcome framework has begun. It is intended that the outcome framework will be agreed by Cabinet in December and by the Hartlepool Partnership in January
- Additional services transferred this quarter to Hartlepool Connect include Revenues & Benefits Counter Team, Scanning Team, Parking Services. Corporate booking system being implemented in Registrars service. CRM now using intelligent scripting
- A number of consultation projects have been completed. The budget consultation is the most significant - this has involved the public, staff, community and business representatives and young people. This information is being used in the budget making process and results are being fed back to participants. Other consultation projects have examined views of leisure centres users, contacting the council to make a complaint and Hartbeat
- The Scrutiny Work Programmes were approved by SCC on the 23rd July, 2010. Scoping and Setting the Scene report prepared and considered by all Forum/SCC and investigations now well underway with evidence being received from the relevant Portfolio Holders and the Town's MP. Project Plans in place for all investigations with clearly defined timescales and completion dates. All investigations are on track for completion in accordance with the agreed timescales and the deadline for completion of the overall Scrutiny Work Programme by the end of the Municipal year

8 FINANCE AND PROCUREMENT PORTFOLIO - Performance Update for the Period Ending 30th September, 2010

- 8.1 Within the Finance and Procurement Portfolio a total of 10 actions were identified in the 2010/2011 Corporate Plan. A total of 8 actions are on track and 2 actions are at an acceptable level.
- 8.2 There is just one PI under the Finance and Procurement Portfolio that is measured on a quarterly basis and this is on track to achieve its target.
- 8.3 Key areas of progress made to date in the Finance and Procurement Portfolio include: -
- Review of 5 year Procurement Plan Category plans has been completed and these have been developed into action plans. These plans are currently being reviewed to ensure that they

reflect not only the Category Management activities but also the activities related to ongoing Departmental support and targeted savings. Contracts are being reviewed in this process.

Proposed date change

- 8.4 The following action have been identified by the department as an action which needs to have its target date changed and Cabinet is asked to approve these date changes.

Code	Action	Initial Due Date	Proposed due date	Comment
RND OD002	Agree a regional, sub-regional and local strategy in collaborative procurement	31 Jul 2010	31 Oct 2010	The required respond by date in relation to the Regional Collaborative Procurement Business Case is the end of October 2010. All efforts in this area will be focused on achieving this date.

9 TRANSPORT AND NEIGHBOURHOODS PORTFOLIO - Performance Update for the Period Ending 30th September, 2010

- 9.1 Within the Transport and Neighbourhoods Portfolio there are a total of 11 actions within the 2010/2011 Corporate Plan. All of these actions have been identified as being on target to be completed by the agreed date.
- 9.2 There are a total of 11 performance indicators that have been identified as measures of success that are not reported only on an annual basis. Five of these indicators have been assessed as being expected to achieve their target by year end with a further 5 already having achieved their target, just 1 PI has not achieved target this quarter:

Performance Indicators not achieving target

PI	Indicator	Target 10/11	2 nd Qtr Outturn	Comment
NI 193	Percentage amount of municipal waste land filled	6%	16.6%	Following the shutdowns of the energy from waste plant in April, May, June and a further shutdown in July has led to waste being landfilled. There are planned shutdowns in the final quarter, which will impact again on the amount of waste to landfill.

- 9.3 Key areas of progress made to date in the Transport and Neighbourhoods Portfolio include: -

- A report was presented to Cabinet in September where it was agreed to revise and reconsult on the Core Strategy Preferred Options following consideration of consultation feedback and changes in national policy. The revised document will be presented to Cabinet in November and consultation will take place for a 10 week period after this. Work is progressing on SPD's for the Town Centre and Planning Obligations although the latter may be affected by changes in Government policy
- Initiatives continue with domestic household waste collections, and at the Household Waste Recycling Centre, in order to reduce residual waste tonnages and increase the levels of materials being recycled/re-used. First-quarter results were encouraging with overall re-cycling levels at 45.2%; this trend has been maintained into the second quarter with overall recycling standing at 44.7%. Further work/initiatives will seek to maintain these levels over the remainder of the year, despite seasonal trends usually showing a significant reduction in green waste and an increase in residual tonnages following the Christmas period

10 REGENERATION AND ECONOMIC DEVELOPMENT PORTFOLIO Performance Update for the Period Ending 30th September, 2010

- 10.1 Within the Regeneration and Economic Development Portfolio there are a total of 8 actions identified in the 2010/2011 Corporate Plan, with 7 being assessed as expected to be completed by the agreed date or already completed and the remaining action requires intervention.

Actions assessed as requiring intervention

Outcome:			
Code	Action	Due Date	Note
RND JE002	Jacksons Landing – Facilitate the reuse of the building through a range of partners	30 Jun 2010	Date change request - From June 2010 to March 2011. Reason: Delays due to complicated negotiations partly as a result of the severe economic conditions.

- 10.2 There are 10 indicators within the Corporate Plan for the Regeneration and Economic Development Portfolio which are not reported on a quarterly basis, 6 of which are either on track or acceptable progress is being made with one PI missing its target

Performance Indicators not achieving target

PI	Indicator	Target 010/11	2 nd Qtr Outturn	Comment
RPD P045	Employment Rate (16-24)	54.1	54.4	Youth employment rate whilst continuing to be low has shown slight

PI	Indicator	Target 010/11	2 nd Qtr Outturn	Comment
				improvement which is in contrast to Darlington , Middlesbrough, Redcar , North East and GB which have all shown reductions over the same time period. The long term trend is mirrored in all areas and is likely to be a combination of more young people staying on in education and reduced employment opportunities due to the current economic climate
NI 151	Overall Employment rate (working-age)	68.8	60.9	Data refers to March 2010. Outturn has shown some improvement whilst most other areas has seen a reduction in employment rate. Disappointing reduction in employment rate which mirrors employment rate changes across the UK largely due to poor national and local economic performance. It is likely that the rate will reduce further as a result of reduced public sector funding and spend in the local economy
NI 152	Working age people on out of work benefits	18.7%	22.3%	As more residents are economically inactive the direct result is an increase in the take up of out of work a benefit which mirrors performance elsewhere in the UK. It is highly likely that this performance indicator will continue on a negative trend particularly in light of public spending cuts and reductions in spend within the local economy. Information refers to May 10
NI 153	Working age people claiming out of work benefits in the worst performing neighbourhoods	26.0%	34.2%	The increased take up of benefits is a direct result of greater levels of worklessness and this mirrors performance elsewhere in the UK. It is highly likely that the performance in this area will continue on a negative trend and the reduction in public sector funding and spend in the local economy will impact negatively on this indicator

Proposed date change

- 10.3 The following action have been identified by the department as an action which needs to have its target date changed and Cabinet is asked to approve these date changes.

Code	Action	Initial Due Date	Proposed due date	Comment
RND JE002	Jacksons Landing – Facilitate the reuse of the building through a range of partners	30 Jun 2010	31 March 2011	DATE CHANGE REQUEST - From June 2010 to march 2011. Reason: Delays due to complicated negotiations partly as a result of the severe economic conditions.

10.4 Key areas of progress made to date in the Regeneration and the Economic Development Portfolio include: -

- ISQ Gateway master plan nearing completion following discussion with local stakeholders and costings being prepared. ONE North East have confirmed that Single Programme funding would not be available in future to support the scheme and alternative sources will be investigated including Regional Growth Fund and Council capital resources. Crown House has been demolished and funding is being sought to progress design and feasibility work in relation to a new incubator facility
- Continuing to develop growth sector skills initiatives with key stakeholders in Hartlepool and Tees Valley particularly around the renewable sector, including wind and sea turbine developments. HCFE, Redcar College and Northumberland have training partnership to provide specialist skills training for the sector. Hartlepool Econ Dev working to develop an entry level pilot for unemployed to gain entry to skills
- Exercise undertaken as part of the regular NAP Officers Group on 11th August, 2010. Assessed CVI information alongside the IMD and agreed not to change the NRS area/priority neighbourhoods at this stage. Work on NAP Forum coverage ceased as a result of this. All of the options considered have been fed into the SDO Review and subject to agreement of the Programme Board further work will be undertaken after the Autumn Spending Review and the Localism Bill in November
- GONE has indicated that it is to sign off the NDC Succession Strategy in Q3 with a caveat relating to claw back on the Dalton Street Car Park. Support also continues to be provided in relation to archiving and attendance at the Steering Group and Personnel Sub Group. Applications also drafted for key buildings/flexible grant pot and Voluntary Sector Premises Pool projects for the Council's SCRAPT budget. At the present time, these have not been taken forward for consideration, but will be kept as reserve projects should those being prepared not be put forward to the SCRAPT group

11 COMMUNITY SAFETY AND HOUSING PORTFOLIO - Performance Update for the Period Ending 30th September, 2010

- 11.1 Within the Community Safety and Housing Portfolio there are a total of 10 actions within the 2010/2011 Corporate Plan. Six of the actions have been assessed as completed or on target for completion, with a further 3 actions having acceptable progress. The remaining action requires some intervention:

Actions assessed as requiring intervention

Outcome: HO 27 - Access to Housing			
Code	Action	Due Date	Note
RND HO010	Implement changes to Common Allocations Policy approved from review	30 Sep 2010	25 Oct 2010 DATE CHANGE REQUEST - From September 2010 to April 2011. Reason: Final approval to Policy changes needs to be agreed by all 9 partners via each of their governing bodies which could take until 31.3.2011, following this software provider will need to make amendments to software provided before implementation can be completed

- 11.2 There are 14 performance indicators (PIs) included in the Corporate Plan as measures of success that are not reported on an annual basis, 8 of which have been assessed as achieving its target or being on track to achieve target and a further 5 progress at an acceptable level. The final PI is currently not achieving its target.

Performance Indicators not achieving target

PI	Indicator	Target 10/11	2 nd Qtr Outturn	Comment
NI 20	Assault with injury crime rate	7.14	4.56	Recorded crimes = 417 April – September 2010. This indicator is measuring less serious assaults, but continues at a rate above target, albeit at slightly lower gap between target and actual than in Q1. The Council and partners, through Safer Hartlepool partnership activity, continue to focus on reducing this crime level, and several new activities have been introduced during quarter 2 - for example, taxi marshalling after midnight in church street. Other initiatives are planned, for example possible alley gates to close off troublesome back alleys

Proposed date change

- 11.3 The following action have been identified by the department as an action which needs to have its target date changed and Cabinet is asked to approve these date changes.

Code	Action	Initial Due Date	Proposed due date	Comment
RND CS003	Assess supported Panel / Vulnerable Housing process to increase access to housing for substance mis users and offenders	31 Jul 2010	31 March 2011	Date change proposed to 31 March 2011 reason: 'Changes have been made but there is need to allow time to assess if embedded and realising improved results.' Treatment and criminal justice process altered. Workers receiving information and liaising with housing to improve effectiveness. Additional facilities to be negotiated and included in operation
RND CS009	Create and deliver communications strategy to target those areas where perceptions of anti social behaviour is 20% or higher	30 Sep 2010	31 March 2011	DATE CHANGE REQUEST - From Sept 2010 to March 2011. Reason: Whilst the Place survey is discontinued, regular meetings are held with Avanticom to ensure continuous promotion of the work that is being done to counter anti-social behaviour. Revised due date due to the fact that communications is an on-going activity
RND HO010	Implement changes to Common Allocations Policy approved from review	30 Sep 2010	31 April 2011	From September 2010 to April 2011. Reason: Final approval to Policy changes needs to be agreed by all 9 partners via each of their governing bodies which could take until 31.3.2011, following this software provider will need to make amendments to software provided before implementation can be completed

- 11.4 Key areas of progress made to date in the Community Safety and Housing Portfolio includes: -

- Review of needs assessment and priorities completed including consideration of issues through Health Scrutiny. Self Assessment and Draft Strategy circulated and nearing completion. NHS/NST Alcohol report will inform final Strategy and action plan. Scheduled activity includes reporting to Cabinet and LSP by end of January, 2011.
- The development of affordable housing is underway on the Seaton Lane, Charles Street and Kipling Road sites. Some completions on the Seaton Lane and Charles Street sites have already taken place and all sites are on track to be completed before the end of the financial year.

- Growth Point funding at Seaton Lane and Belle Vue at the agreed level has been confirmed for 2010/2011. Current spend for 2010/2011 is on track, including purchased at Belle Vue and is expected to be completed by March, 2011.

12 REVENUE FINANCIAL MANAGEMENT 2010/2011 - OVERVIEW

12.1 This section provides details covering the following areas: -

- Overview of Financial Position;
- Review of High Risk Budget Areas;
- Performance against Budget Pressures treated as Contingency Items;
- Progress against Departmental Salary Turnover Targets;
- Progress against Area Based Grants
- Key Balance Sheet information.

12.2 Overview of Financial Position

12.3 At an overall level the Council's budget is managed on a departmental basis and the overall position is summarised at **Appendix A**.

12.4 **Appendix A** is supported by detailed Financial Management statements for each Portfolio, which includes comments on material variances as set out below:

- Appendix C - Adult and Public Health
- Appendix D - Children's Services
- Appendix E - Community Safety & Housing
- Appendix F - Culture Leisure & Tourism
- Appendix G - Finance & Procurement
- Appendix H - Regeneration & Economic Development
- Appendix J - Performance

12.5 In relation to corporate budgets these forecasts confirm the initial position reported in September of a £0.9m underspend on centralised estimates. This is to be utilised £0.5m to support the in year grant cuts and £0.4 to support the Tall Ships programme.

12.6 Detailed outturns for departmental budgets had not previously been prepared as it is difficult to determine trends based on the first quarters results. Forecast outturns have now been prepared

and are detailed in **Appendix A** and in broad terms there is expected to be an overspend on departmental budgets of £0.375m, inclusive of forecast income shortfalls.

- 12.7 In relation to the detailed departmental forecasts there are a number of income shortfalls which need to be funded from reserves set aside to manage these risks. These adverse income levels are greater than anticipated and commit the whole of the resources allocated to manage this risk in 2010/2011 and 2011/2012. When account is taken of these reserves there is a net underspend of £0.07m as summarised in the table below. It is suggested this amount is transferred to the Strategic Risk Reserve to manage continuing income risks. Detailed comments on the key variances are provided in Appendices C-J.

	Forecast Outturn		
	Gross Adverse/ (Favourable) Variance £'000	Funding Allocated for Income Shortfall £'000	Net Adverse/ (Favourable) Variance £'000
Child and Adult Services	(345)		(345)
Regeneration and Neighbourhood Services	417	(200)	217
Chief Executives Department	303	(246)	57
Net Outturn Variance - All Departments	375	(446)	(71)

- Child and Adult Services – net underspend £345,000

This variance is mainly owing to savings arising from vacant posts in various areas of educational services and lower costs for Looked After Children. Looked After Children is a volatile area and specific reserves are being created to manage the risk in future years through the Medium Term Financial strategy.

- Regeneration and Neighbourhoods – net overspend £217,000

There are two distinct areas of overspend within the department, Car Parking income anticipates a shortfall of £264,000 as detailed in the table above income has been allocated from the Strategic Risk reserves to cover the estimated value of this shortfall. Cabinet approved an increase in Car Parking charges on 6th September of 10p per hour, this expected to generate an additional £150,000 per annum. In addition to this the department is conducting a full review on costs associated with Car Parking and will seek to address any

further budget pressures from within the overall departmental budget.

Building Control and Planning income is expected to have a shortfall of approximately £140,000. This area in particular has been impacted upon by the economic downturn.

- Chief Executives Department – net overspend £57,000

The department has a gross overspend of £303,000 owing to a shortfall in the main of Shopping Centre income and Land Charges.

These income shortfall trends were anticipated and as detailed in the table above income has been allocated from Strategic Risk reserves to partly cover these shortfalls. This reserve is now depleted and therefore should the trends continue there will be a budget pressure in the coming financial years.

- 12.8 The forecast outturns do not yet include potential benefits of advance Service Delivery Option savings being achieved earlier than anticipated in the Medium Term financial strategy. These details will be reported to your next meeting as part of the 2011/2012 budget report.

12.9 **Review of High Risk Budget Areas**

- 12.10 High risk budget areas were identified as part of the budget setting report, submitted to Cabinet in February. These issues are explicitly managed and reported to ensure any problem areas are identified at an earlier stage, to enable appropriate corrective action to be taken. The areas identified as high risk budgets are attached at **Appendix B**, which explains how these items were identified and indicates that there are currently variances on a number of budgets.

The main adverse variances relate Car Parking. The Car Parking variance is owing to income collected being lower than budgeted levels. Work is ongoing to review the Car Parking income budget with a view to addressing the long term budget gap in this area. Reserves will be used to manage the short term position for 2010/2011.

Further details are included in **Appendices C to J**.

- 12.11 **Performance against Budget Pressures treated as Contingency Items**

12.12 Members will recall that as part of the review of budget pressures for 2010/2011, it was determined that a number of pressures are not certain to arise, or the value of the pressure is not certain. These items were therefore classified as “contingency” items and a budget provision was made to underwrite these risks.

12.13 **Appendix K** provides a schedule of these items.

12.14 **Progress against Departmental Salary Turnover Targets**

12.15 An assumed saving from staff turnover is included within salary budgets. Details of individual department's targets are summarised in the table below.

Department	2010/11 Turnover Target £'000	Expected to 30.09.10 £'000	Actual to 30.09.10 £'000	Variance from Target £'000
Adult & Community Services	522.4	255.4	356.5	(101.1)
Chief Executives	237.6	119.0	129.0	(10.0)
Children's Services (excluding Schools)	281.0	240.0	240.0	0.0
Regeneration & Neighbourhoods	302.0	151.0	151.0	0.0
				0.0
	1,343.0	765.4	876.5	(111.1)

12.16 The above figures are included within the variances reported for each department at a detailed level.

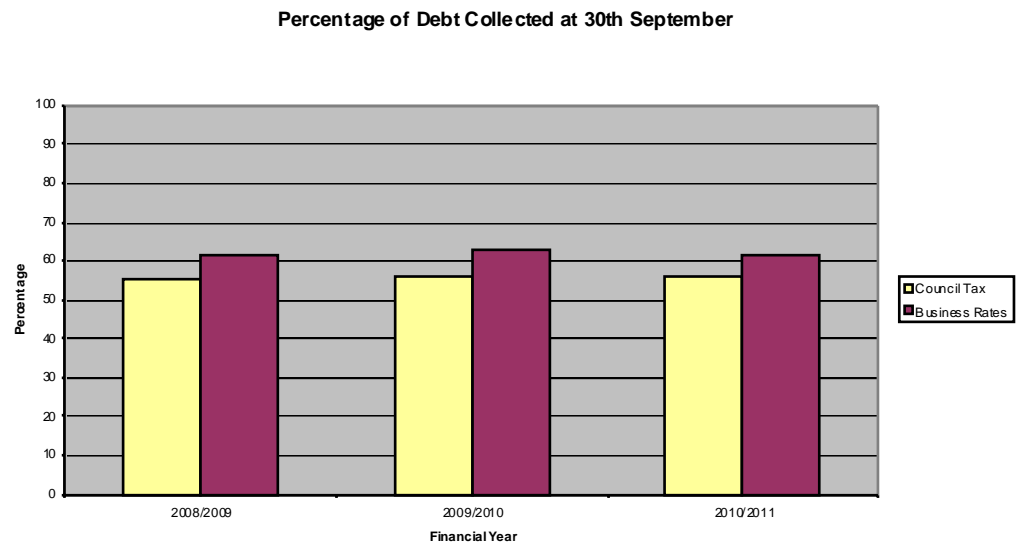
12.17 **Key Balance Sheet Information**

12.18 A Balance Sheet provides details of an organisation's assets and liabilities at a fixed point in time, for example, the end of the financial year or other fixed accounting periods. Traditionally local authorities have only produced a Balance Sheet on an annual basis and have managed key Balance Sheet issues through other more appropriate methods. However, under CAA arrangements there is a greater emphasis on demonstrating effective management of the balance sheet. The Audit Commission's preferred option is the production of interim balance sheets throughout the year. In my opinion the option is neither practical nor beneficial as a Local Authority Balance Sheet includes a large number of notional valuations for the Authority's fixed assets and pension liabilities. It is therefore more appropriate to monitor the key cash balance sheet items and these are summarised below:-

- Debtors

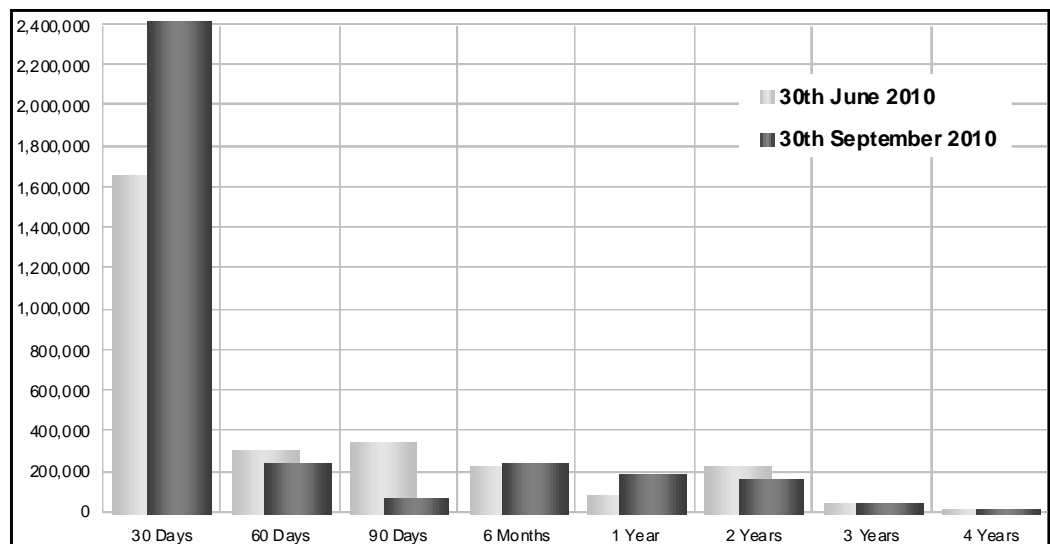
The Council's key debtors arise from the non payment of Council Tax, Business Rates and Sundry Debtors. These

areas are therefore subject to detailed monitoring throughout the year. The position on Council Tax and Business rates are summarised below:-



The Council Tax collection rate is up slightly by 0.06% and the NNDR collection rate is slightly up by 0.83% when compared to the same period last financial year. In-year collection rates are affected by the timing of week/month ends.

The position in relation to Sundry Debtors is summarised below:



At the start of the current financial year the Council had outstanding sundry debts of £3.137m. During the period 1st April, 2010 to 30th September, 2010, the Council issued approximately 8,697 invoices with a value of £12.447m. As at

the 30th September, 2010, the Council had collected £8.912m, leaving £3.535m outstanding, which consists of: -

- Current Debt - £2.976m

With regard to current outstanding debt, this totals £2.976m at 30th September, 2010, inclusive of approximately £2.423m of debt less than thirty days old.

- Previous Years Debt - £0.433m

These debts relate to the more difficult cases where court action or other recovery procedures are being implemented. At the 30th September, 2010, debts older than one year totalled £0.433m.

- Borrowing Requirement and Investments

The Council's borrowing requirement and investments are the most significant Balance Sheet items. Decisions in relation to the Council's borrowing requirements and investments are taken in accordance with the approved Treasury Management Strategy.

13 CONCLUSIONS

- 13.1 The report details progress towards achieving the Corporate Plan outcomes and progress against the Council's own 2010/2011 Revenue Budget for the period to 30th September, 2010.

14 RECOMMENDATION

- 14.1 Cabinet is asked to: -

- Note the current position with regard to performance and revenue monitoring.
- And approve date changes in paragraphs 8.4, 10.3 and 11.3.

GENERAL FUND - REVENUE MONITORING REPORT TO 30th September 2010

Line No	Actual Position 30/09/10			Description of Expenditure	Projected Outturn Position 30/09/10		
	Expected Expenditure/ (Income)	Actual Expenditure/ (Income)	Variance Adverse/ (Favourable)		Latest Budget	Projected Outturn	Projected Variance: Adverse/ (Favourable)
Col. A	Col. D	Col. E	Col. F (D=C-B)	Col. C	Col. B	Col. G	Col. H (H=G-F)
	£'000	£'000	£'000		£'000	£'000	£'000
				TABLE 1 - Departmental Expenditure			
1	30,937	30,272	(665)	Child and Adult Services	59,825	59,480	(345)
2	18,153	18,306	153	Regeneration and Neighbourhood Services	25,546	25,963	417
3	(1,246)	(1,184)	62	Chief Executives	9,182	9,485	303
4	47,844	47,394	(450)	Total Departmental Expenditure	94,552	94,927	375
				TABLE 2 - Corporate Costs			
				EXTERNAL REQUIREMENTS			
5	56	41	(15)	Magistrates, Probation and Coroners Court	192	192	0
6	25	25	0	North Eastern Sea Fisheries Levy	25	25	0
7	16	33	17	Flood Defence Levy	31	31	0
8	0	(59)	(59)	Discretionary NNDR Relief	85	85	0
				CORPORATE COMMITMENTS			
9	1,348	73	(1,275)	I.T.	2,695	2,695	0
10	182	38	(144)	Audit Fees	365	365	0
11	3,423	2,923	(500)	Centralised Estimates	6,845	5,945	(900)
12	0	0	0	Insurances	182	182	0
13	0	(31)	(31)	Designated Authority Costs	90	90	0
14	285	253	(32)	Pensions	362	362	0
15	182	191	9	Members Allowances	364	364	0
16	39	31	(8)	Mayoral Allowance	79	79	0
17	(185)	(178)	7	Emergency Planning	92	92	0
				NEW PRESSURES			
18	0	0	0	Contingency General	24	24	0
19	0	0	0	NNDR Holding Code	35	35	0
20	0	0	0	Planning Delivery Grant terminated	121	121	0
21	53	76	23	Business Transformation Programme	0	0	0
22	0	15	15	Members ICT	15	15	0
23	0	7	7	Secure Remand - Corporate	0	0	0
24	23	0	(23)	Climate Change Initiatives (Area Based Grant Funded)	23	23	0
25	0	0	0	Strategic Contingency	305	305	0
26	0	0	0	Waste Disposal Pressure	130	130	0
27	0	0	0	2006/07 Final Council Commitments	15	15	0
28	25	0	(25)	2007/08 Provision for Grants/Pressures/Priorities	23	23	0
29	0	0	0	Provision for Cabinet projects	53	53	0
30	0	0	0	Job Evaluation	803	803	0
31	0	0	0	Contribution to one-off BTP costs	450	450	0
32	0	0	0	2010/11 Pressures and Contingency	120	120	0
33	0	0	0	2009/10 Pressures Year 2 and 3 additional costs	100	100	0
34	0	0	0	LATS Income	(250)	(250)	0
35	0	0	0	Removal of Revenue Funding and Replace with Capitalisation	(500)	(500)	0
36	0	0	0	Benefit Subsidy income	(300)	(300)	0
37	26	26	0	PARISH PRECEPTS	26	26	0
38	0	0	0	CONTRIBUTION FROM BUDGET SUPPORT FUND AND OTHER RESERVES	(1,474)	(1,474)	0
39	0	0	0	Children's Services DSG Funding - LA Element Only	229	229	0
40	53,342	50,858	(2,484)	Total General Fund Expenditure	105,907	105,382	(525)
41				Centralised Estimates utilised to support in year grant cuts			500
42				Centralised Estimates utilised to support Tall Ships Programme			400
43				Funding Allocated for Income shortfalls			(446)
44				Forecast Outturn	117,262	115,837	(71)

2010/11 FINANCIAL RISK MANAGEMENT**Risk Rating**

A simplified version of the Risk Assessment criteria used in the Council's Risk Management Strategy has been used to rank budget risks. This assessment rates risk using the convention of green/amber/red, as defined below, although different levels of risk within each category have not been defined. The risk assessment helps inform the Council's budget monitoring process as it identifies areas that need to be monitored more closely than other budgets. These procedures help ensure that departments can manage budgets and services within the overall departmental resource allocation and the Council's overall financial management framework, which enable departments to establish reserves for significant risks and to carry forward under and over spends between financial years.

The value of expenditure/income on individual areas, together with the percentage of the authority's net budget, are shown in the table below to highlight the potential impact on the Council's overall financial position.

Green - these are unlikely events which would have a low financial impact

Amber - these are possible events which would have a noticeable financial impact.

Red - these are almost certain to occur and would have a very significant impact. Provision would need to be made for such events in the budgets.

CORPORATE RISKS

Financial Risk	Risk Rating	2010/11 Base Budget £'000	Variance to 30th September (Favourable)/ Adverse £'000	Projected Outturn Variance £'000
Pay costs - Single Status and costs of living pay award	Amber	50,470	0	0
Higher costs of borrowing and/or lower investment returns	Green	6,845	(500)	(900)
IT.	Green	2,695	0	0
Planned Maintenance Budget	Amber	232	232	0

CHILD & ADULT SERVICES

Financial Risk	Risk Rating	2010/11 Base Budget £'000	Variance to 30th September (Favourable)/ Adverse £'000	Projected Outturn Variance £'000
Individual School Budget	Amber	56,977	0	0
Individual Pupils Budget allocated during the year to schools for high level SEN pupils	Green	1,453	0	36
Home to School Transport Costs	Amber	1,700	9	(16)
Building Schools for the Future	Amber	0	(47)	(158)
Carlton Outdoor Education Centre	Red	0	45	90
Increased demand in places at independent schools for pupils with high level of SEN	Amber	528	7	23
Increased Demand for Looked After Children Placements	Red	5,464	0	(189)
Schools Buy-Back Income	Amber	(610)	21	20
Demographic changes in Older People	Amber	15,775	23	0
Demographic changes in Working Age Adults	Amber	8,921	32	(123)
Loss of Income - Tall Ships	Red	0	0	£0
Non-achievement of income targets - Community Services	Amber	(1,317)	(226)	0
Non-achievement of income targets - Social Care	Amber	(9,904)	(299)	(90)

REGENERATION & NEIGHBOURHOODS

Financial Risk	Risk Rating	2010/11 Base Budget £'000	Variance to 30th September (Favourable)/ Adverse £'000	Projected Outturn Variance £'000
Car Parking	Amber	(1,806)	159	264
Fee Income - Planning & Building Control	Amber	(686)	67	140
Rent Income - Economic Development Service	Green	(200)	0	0

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2010/2011

Approved 2010/2011 Budget £'000	Description of Best Value Unit	Expected Budget £'000	Actual to 30/09/10 £'000	Variance to Date - Over/ (Under) spend £'000	Projected Outturn Variance £'000	Director's Explanation of Variance
58	Environmental Protection	10	14	5	0	
(59)	Environmental Standards	(49)	(31)	18	39	The adverse variance relates mainly to lower than budgeted income for Outdoor Markets.
44	Adult Education	554	555	1	0	
4,271	Assessment, Care Management & Provision 1	2,041	1,993	(48)	(78)	The favourable variance relates to staffing underspends owing to vacancies being held in anticipation of SDO restructuring, this is offset by overspends for transport which is reflected in the outturn position.
2,680	Assessment, Care Management & Provision 2	1,225	1,139	(86)	(70)	The favourable variance relates to staffing underspends owing to vacancies being held in anticipation of SDO restructuring.
400	Carers & Assistive Technology	82	47	(35)	0	
5,021	Commissioning - Adults	2,253	2,241	(12)	(33)	
1,323	Commissioning - Mental Health	627	646	19	101	The adverse outturn variance in this area is owing to an anticipated overspend on residential and community based support of approximately £100K. This is a continuing trend and a pressure is identified in the 11/12 budget strategy.
9,415	Commissioning - Older People	4,372	4,326	(46)	0	
5,806	Commissioning - Working Age Adults	2,095	1,988	(107)	(123)	The favourable variance in this area relates to a reduction in expenditure on residential care for individuals with a physical disability and the projected outturn reflects this.
305	Service Strategy and Regulation	(290)	(346)	(56)	17	
1,916	Support Services	1,076	1,036	(40)	19	
205	Working Neighbourhood Fund	159	164	5	5	
	Contribution to Reserves - Trf Tall Ships				120	Reserve to be created from one off income streams within Adult Social Care to support the budget position within Tall Ships.

31,385	TOTAL	14,155	13,772	(382)	(3)	
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USE OF RESERVES

The above figures include the 2010/2011 approved budget along with the planned use of Departmental Reserves created in previous years.
The details below provide a breakdown of these reserves

Description of Best Value Unit	Approved 2010/2011 Budget £'000	Planned Usage 2010/11 £'000	Variance Over/ (Under) £'000
Assessment, Care Management & Provision - Stroke Care	12	12	0
Commissioning - Older People	20	20	0
Commissioning Adults - Tobacco Control	28	28	0
Commissioning Mental Health - Mental Capacity Act	27	27	0
Commissioning Working Age Adults - Respite Provision for Autism	80	80	0
Service Strategy & Regulation - Social Care Reform Grant	50	50	0
Working Neighbourhoods Fund - Adults	6	6	0
	223	223	0

Director's Explanation of Variance

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2010/2011

Approved 2010/2011 Budget £'000	Description of Best Value Unit	Expected Budget £'000	Actual to 30/09/10 £'000	Variance to Date - Over/ (Under) spend £'000	Projected Outturn Variance £'000	Director's Explanation of Variance
1,901	Access to Education	1,147	1,150	3	(15)	The favourable outturn variance is owing to underspends against Home to School Transport owing to a review of bus routes and staff vacancies within Service. A pressure does exist in Supported Bus routes which will be absorbed in year from savings in the Dyke House decant budget. Future years additional costs will need to be funded from savings elsewhere within the Independent Transport Unit otherwise this has the potential of being an unfunded pressure in 2011/12.
825	Central Support Services	24	24	0	0	
582	Children's Fund	737	710	(27)	(293)	The favourable variance is projected by reducing activities ensuring more focussed family intervention within this current year to create a reserve to extend the life of the project in 11/12.
12,295	Children & Families	6,090	6,119	29	(175)	Demand for the external placement of Looked After Children is currently stable and is being carefully monitored throughout the year. The pressure on the Fostering and support budgets has been managed within the base budget. There is expected to be a balance of approximately £145K anticipated at year end, this underspend is to contribute to the Medium Term Financial Strategy for 11/12.
54	Early Years	358	381	23	0	
207	Information Sharing & Assessment	93	84	(9)	(28)	Savings relate to reduction in costs relating to the Children's Trust due to the removal of its role as a statutory function
2,428	Other School Related Expenditure	1,263	1,233	(29)	(114)	Staff vacancies and lower service costs within Connexions account for the majority of the underspend. In addition, the transfer of LSC responsibilities to the local authority has been absorbed by existing staff accounting for additional savings. Savings have also been achieved by reduced premature retirement costs which offsets pressures on Delegated Swimming achieving lower buy back income from Schools and higher licence costs.
112	Play & Care of Children	56	39	(17)	(10)	Savings due to maternity leave
2,404	Raising Educational Achievement	1,597	1,438	(158)	(253)	Savings arise from vacant posts within the Advisory Service, and allocation of funding from the LSC for the transfer of staff. This is used to offset pressure of broadband charges and the loss of buy back income from schools for ICT support. The Carlton Outdoor Centre budget projected to overspend by approximately £90K and therefore a contribution to reserves from this overall service area is required of £70K.
506	Special Educational Needs	1,061	1,012	(48)	(136)	Savings relate to lower placement costs of pupils placed with other local authorities and in Independent Schools, lower than expected demand for Home and Hospital Teaching and reduced operating costs of the Pupil Referral Unit. This offsets the in-year pressure for statemented pupil requiring additional support, which is being partly funded by the £239,000 DSG carry forward, as approved by the Schools Forum.

Approved 2010/2011 Budget £'000	Description of Best Value Unit	Expected Budget £'000	Actual to 30/09/10 £'000	Variance to Date - Over/ (Under) spend £'000	Projected Outturn Variance £'000	Director's Explanation of Variance
995	Strategic Management	663	576	(87)	(128)	Savings arisen owing to lower Central Training costs and salary abatement for DSG funded Services
189	WNF	144	144	0	0	
146	Youth Justice	66	58	(8)	(2)	
467	Youth Offending Team	538	543	5	0	
909	Youth Service	481	496	15	(81)	Projected favourable variance owing to more targetted activities this financial year in order to create a reserve to support Positive Activities for Young People 11/12.
0	Dedicated Schools Grant - Trfr to Ring-Fenced DSG Reserve		148	148	271	Within the variances described above are forecast net savings on DSG funded services totalling £271k. These mainly arise from savings on Home to Hospital Teaching, Pupil Referral Unit, staff vacancies and the DSG contingency budget. This saving is ring fenced and will be automatically carried forward to be utilised in 2011/12 subject to consultation with the Schools Forum.
	Placement budget Trf to Ring Fenced Reserve				250	Agreed within Medium Term Financial Strategy
	Creation of Reserve for Positive Activities for Young People				77	Created from underspends within the Youth Service to ensure continued service provision in 11/12 and agreed with Director and Chief Financial Officer.
	Creation of Reserve for Think Family Intervention Programme				293	Created from underspends within in year intervention activities to extend the project into 11/12 and agreed with Director and Chief Financial Officer
	Creation of Reserve for Carlton Outdoor Education Centre				70	Created from underspends within Educational Achievement service area to ensure costs are met in 10/11 and agreed with Director and Chief Financial Officer
24,021	TOTAL	14,317	14,156	(161)	(273)	

USE OF RESERVES

The above figures include the 2010/2011 approved budget along with the planned use of Departmental Reserves created in previous years.
The details below provide a breakdown of these reserves

Description of Best Value Unit	Approved 2010/2011 Budget £'000	Planned Usage 2010/11 £'000	Variance to Date Over/ (Under) £'000	Director's Explanation of Variance
School Transformation Team (BSF)	(876)	(688)	(188)	Owing to the national changes to the BSF programme then there will be a reduction in running costs arising from savings on planning, design and consultancy.
2009/10 DSG c/f	(292)	(292)	0	The Schools Forum have approved the usage of this carry forward. £60k will be transferred to capital via RCCO towards the Catcote temporary classroom, with the balance being used to offset the in-year overspend on the Individual Pupil Support Budget

Carlton Outdoor Centre	(22)	(90)	68
Education Health Partnerships	(15)	(15)	0
Local Safeguarding Children's Board	(29)	(29)	0
ContactPoint	(6)	(6)	0
Teen / Early Years Lifecheck	(12)	(12)	0
Youth Opportunity Func	(8)	(8)	0
Learning & Activities Project	(1)	(1)	0
Transition Protocol - Disability Team	(18)	(18)	0
Youth Justice - Crime Prevention	(55)	(55)	0
Playing for Success	(14)	0	(14)
Parenting Support	(20)	(20)	0
Promotion of Breast Feeding	(44)	(44)	0
	(1,412)	(1,278)	(134)

As stated in the comment above for 'Raising Educational Achievement' it is currently forecast that this Reserve will be overcommitted.
PfS have not purchased a hospitality box this season at Hartlepool United Football Club with the reserve to be used next year towards continuation of the PfS programme.

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2010/2011

Approved 2010/2011 Budget £'000	Description of Best Value Unit	Expected Budget £'000	Actual £'000	Variance to Date - Over/ (Under) spend £'000	Projected Outturn Variance £'000	Director's Explanation of Variance
839	Consumer Services	310	268	(42)	0	
1,297	Crime & Disorder	898	877	(21)	0	
148	Drugs & Alcohol	(14)	(8)	6	0	
153	Housing Regeneration & Policy	75	48	(27)	0	
334	Landscape Planning & Conservation	154	138	(16)	0	
2,260	Neighbourhood Management	1,300	1,280	(20)	0	
303	Private Sector Housing and Special Needs	182	168	(14)	0	
169	Safety Cameras	85	81	(4)	0	
713	Social Behaviour & Housing	332	338	6	0	
6,216	TOTAL	3,322	3,190	(132)	0	

USE OF RESERVES

The above figures include the 2009/2010 approved budget along with the planned use of Departmental Reserves created in previous years.

The details below provide a breakdown of these reserves

Description of Best Value Unit	Approved 2009/2010 Budget £'000	Planned Usage 2009/10 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
Anti Social Behaviour Team Reserve	9	9	0	
Housing System Reserve	22	22	0	
31	31	0		

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2010/2011

Approved 2010/2011 Budget £'000	Description of Best Value Unit	Expected Budget £'000	Actual £'000	Variance to Date - Over/ (Under) spend £'000	Projected Outturn Variance £'000	Director's Explanation of Variance
37	Archaeology	40	35	(5)	0	
417	Community Regeneration	215	205	(10)	0	
2,486	Parks & Countryside	2,528	2,572	44	0	
686	Community Support	341	319	(22)	(5)	
1,649	Libraries	794	754	(40)	(31)	The favourable variance relates to staffing underspends owing to vacancies being held in anticipation of SDO restructuring.
0	Maintenance			0		
695	Museums & Heritage	448	439	(9)	0	
1,212	Sports & Physical Recreation	452	426	(26)	0	The favourable variance in this area relates to income and owing to the seasonal nature of the service the outturn reflects a balanced position at year end
139	Strategic Arts	136	149	13	6	
7,321	TOTAL	4,954	4,899	(55)	(30)	

USE OF RESERVES

The above figures include the 2009/2010 approved budget along with the planned use of Departmental Reserves created in previous years.
The details below provide a breakdown of these reserves

Description of Best Value Unit	Approved 2010/2011 Budget £'000	Planned Usage 2010/11 £'000	Variance Over/ (Under) £'000
Archaeology	8	8	0
Community Grants Pool	51	51	0
Libraries - LPSA	1	1	0
Museums & Heritage - Culture Shock	2	2	0
Museums & Heritage - Renaissance in the Regions	15	15	0
Sport & Recreation - Grayfields Pitch Improvements	21	21	0
Sport & Recreation - LPSA	12	12	0
Sport & Recreation - Mill House	173	173	0
Sport & Recreation Specific Grants	13	13	0
Tall Ships	919	919	0
	1,215	1,215	0

Director's Explanation of Variance

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2010/2011

Approved 2010/2011 Budget £'000	Description of Best Value Unit	Expected Budget £'000	Actual £'000	Variance to Date - Over/ (Under) spend £'000	Projected Outturn Variance £'000	Director's Explanation of Variance
(86)	Property Services	359	428	69	0	Based on the current programme of work, the Building Consultancy is on target to achieve the expected level of income. However, this is on the condition that all projects proceed this financial year and are not cancelled. The cancellation of Building Schools for the Future projects will impact on potential income for the team and the implications of this are currently being reviewed. There have been some key projects where fees have not been taken and this has adversely affected income. The loss of the Energy SLA with Housing Hartlepool has also had an adverse effect.
(941)	Car Parking	(407)	(249)	159	264	The forecast outturn variance of £264k is being mostly offset by funding from the corporate strategic risk reserve. The remaining variance relates higher costs in relation to IT Licenses and various accommodation costs. The high expected budget variance is owing to car parking income being less than planned at the half year point. Actions taken such as Increased charges from November should reduce the outturn and the department is undertaking a full review of costs associated to address any further budget pressures.
5	Central Admin	5	5	0	(5)	
553	Engineering Consultancy	171	172	1	0	
298	Facilities Management	1,147	1,108	(39)	0	Included within this service area is School Catering which is showing a potential adverse variance of £150k owing to an increase in the number of free school meals, reduced pupil numbers and increased costs. This is being offset by an equivalent favourable variance on building maintenance as a result of extra fee generating work.
1,491	Highway Maintenance	1,224	1,190	(34)	0	
629	Highways Liability	0	0	0	0	
(170)	Highways Trading	582	544	(37)	0	Note the expected budget and actual includes recharge costs relating to the whole year. The actual figure has been adjusted to include Work in Progress.
578	Highways Traffic & Transportation Management	291	356	65	0	It is anticipated that the current adverse variance will be covered within the overall Highways and Transportation budget through TOS, where schemes have not yet started.
(200)	ITU Vehicle Fleet	(100)	(100)	0	0	
1	Logistics	283	280	(2)	0	
154	Procurement	57	63	6	0	
(302)	Regen & Neighbourhoods Salary Turnover Target	(151)	(151)	0	0	
(108)	Section 38's - New Developments	(273)	(273)	0	0	
1,096	Strategic Management & Admin	722	722	0	0	
14	Traffic Management	7	12	5	0	
5,098	Waste & Environmental Services	3,231	3,233	1	0	Due to extensive improvement works at the incinerator on the SITA site, there is a strong possibility that there will be an increase in the need to landfill. This could result in a budget pressure in this Service area.
9	Finance Miscellaneous	9	17	8	0	

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2010/2011

Approved 2010/2011 Budget £'000	Description of Best Value Unit	Expected Budget £'000	Actual £'000	Variance to Date - Over/ (Under) spend £'000	Projected Outturn Variance £'000	Director's Explanation of Variance
42	Building Control	15	44	29	60	Inspection fee income is below expected levels as a result of the economic downturn and some work has been lost to private inspectors in the competitive market that exists.
78	CADCAM	78	80	2	0	
(13)	Development Control	(4)	35	39	80	Planning fee income is forecast to be less less as a result of the economic downturn and government spending cuts.
1,162	Economic Development	1,650	1,662	13	0	Note the profile of expected budget is owing to the timing differences of expenditure and subsequent receipt of grant funding.
273	ITU Passenger Transport	138	138	0	0	
359	ITU Road Safety	179	186	7	10	
44	ITU Strategic Management	75	70	(5)	0	
1,213	Network Infrastructure	571	545	(26)	0	
50	Sustainable Development	25	21	(4)	0	
2,200	Sustainable Transport	182	168	(14)	(31)	
444	Urban & Planning Policy	253	255	2	0	
2,466	Working Neighbourhood Fund	1,817	1,812	(6)	0	
8,318	TOTAL	4,979	5,016	37	119	

USE OF RESERVES

The above figures include the 2009/2010 approved budget along with the planned use of Departmental Reserves created in previous years.
The details below provide a breakdown of these reserves

<u>Description of Best Value Unit</u>	<u>Approved 2009/2010 Budget £'000</u>	<u>Planned Usage 2009/10 £'000</u>	<u>Variance Over/ (Under) £'000</u>	Director's Explanation of Variance
Regeneration & Neighbourhoods Grants	368	368	0	
Economic Development	62	62	0	
Regeneration MRU	70	70	0	
	500	500	0	

PERFORMANCE

Appendix J

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2010/2011

Approved 2010/2011 Budget £'000	Description of Best Value Unit	Expected Budget £'000	Actual £'000	Variance to Date - Over/ (Under) spend £'000	Projected Outturn Variance £'000	Director's Explanation of Variance
203	Performance & Consultation	103	93	(10)	(10)	Favourable variance owing to planned underspend on Place survey.
67	Council Tax & Housing Benefit Subsidy	(8,041)	(8,041)	0	0	
151	Community Partnerships	75	69	(6)	(10)	Favourable variance owing to planned reduction in support costs.
216	Community Partnerships - WNF	230	227	(3)	0	Favourable variance owing to planned reduction in support costs.
453	Shared Services Unit	347	387	40	10	Implementation of the HR/Payroll system has required the use of overtime payments. The overspending in this section will be offset by underspending in other areas of the Chief Executives department.
114	Performance Management Misc	78	81	3	0	
(3)	Benefits	(49)	(75)	(26)	0	Allocation across all Revenue and Benefits codes at year end to ensure all budgets are within budget.
123	Fraud	120	117	(3)	0	Allocation across all Revenue and Benefits codes at year end to ensure all budgets are within budge
1,113	Revenues	541	546	5	0	Allocation across all Revenue and Benefits codes at year end to ensure all budgets are within budget
(158)	Revenues & Benefits Central	200	243	43	0	Allocation across all Revenue and Benefits codes at year end to ensure all budgets are within budget.
619	Contact Centre	429	421	(8)	0	
551	Corporate ICT	389	348	(41)	0	Current favourable variance on employee costs relates to savings made as a result of restructure. There is also a small underspend relating to a temporary post which is currently vacant and is not intended to be filled
651	Corporate Strategy	322	299	(23)	(10)	Projected favourable variance owing to vacant posts, with budgets being transferred to support services team by financial year end.
234	Democratic	115	114	(1)	0	
779	HR Health and Safety	328	306	(22)	0	

Approved 2010/2011 Budget £'000	Description of Best Value Unit	Expected Budget £'000	Actual £'000	Variance to Date - Over/ (Under) spend £'000	Projected Outturn Variance £'000	Director's Explanation of Variance
(62)	Other Office Services	(21)	34	55	145	Current projections for the Land Search income outturn is £145,000 adverse, a corporate reserve of £100,000 is available to cover a possible shortfall but this will still leave an adverse variance in the current year of £45,000
157	Scrutiny	76	65	(11)	(10)	Favourable variance owing to reduction in Scrutiny Support costs.
141	Public Relations	77	79	2	0	
64	Registration Services	28	17	(11)	0	
311	Training & Equality	192	197	5	0	
5,724	TOTAL	(4,461)	(4,473)	(12)	115	

USE OF RESERVES

The above figures include the 2010/2011 approved budget along with the planned use of Departmental Reserves created in previous years.

The details below provide a breakdown of these reserves

Description of Best Value Unit	Approved 2010/2011 Budget	Planned Usage 2010/11	Variance Over/ (Under)
	£'000	£'000	£'000
Ring Fenced Grants	193	193	0
Corporate Strategy - Corporate Consultation	15	15	0
Corporate Strategy - Divisional costs	46	46	0
Corporate Strategy - Council Profile	15	15	0
Corporate Strategy - ICT System Development	61	61	0
Corporate Strategy - ICT Project Development	90	90	0
Corporate Strategy - Encryption costs	35	35	0
Corporate Strategy - Performance Management	10	10	0
Corporate Strategy - ICT Contract Review	25	25	0
Registrars	35	20	(15)
People Framework Development	18	5	(13)
Contact Centre	51	34	(17)
HR Resource Investment	3	3	0
HR Support to Members	27	27	0
Revenues & Benefits - IT Developments	41	19	(22)
Revenues & Benefits	64	20	(44)
Revenues & Benefits - Internal Bailiff Development	16	0	(16)

[illegible]

<u>Description of Best Value Unit</u>	<u>Approved 2010/2011 Budget</u>	<u>Planned Usage 2010/11</u>	<u>Variance Over/ (Under)</u>
	£'000	£'000	£'000
Revenues & Benefits - Intercept Software	6	6	0
Revenues & Benefits - Financial Inclusion Programme	50	28	(22)
Revenues & Benefits - New Scanner	15	13	(2)
Revenues & Benefits - FSM Software	15	12	(3)
Revenues & Benefits - e-form Development	20	20	0
	851	697	(154)

Director's Explanation of Variance
Balance transferred into future years.
Balance transferred into future years.
Balance transferred into future years.

CONTINGENCY ITEMS 2010/2011

Financial Risk	2010/2011 Budget £'000	Use of Contingency to 30th September 2010 £'000	Projected use of Contingency £'000
<u>Child & Adult Services</u>			
Additional funding in respect of Safeguarding Children to provide staffing capacity to address issues raised by Ofsted.	100	(40)	90
<u>Corporate</u>			
Repayment of 2008/2009 and 2009/2010 severance costs over a period of up to 5 years.	120	0	120
Potential increase in discretionary Business Rates relief costs during the recession.	50	0	50
Potential increases in energy costs from April, 2010, which NEPO (North East Purchasing Organisation) have indicated could be around 10% for both gas and electricity.	150	0	150
Fire Safety Risk Management	30	(14)	30
Total	450	(54)	440