

# CABINET AGENDA



**Monday 15 August 2011**

**at 9.15 a.m.**

**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**

To receive the Record of Decision in respect of the meeting held on 1 August 2011  
(previously circulated)

4. **BUDGET AND POLICY FRAMEWORK**

4.1 Food Law Enforcement Service Plan 2011/2012 – *Director of Regeneration  
and Neighbourhoods*

4.2 Youth Justice Strategic Plan 2011-12 – *Director of Child and Adult Services*

5. **KEY DECISIONS**

No items

**6. OTHER ITEMS REQUIRING DECISION**

- 6.1 Open Public Services White Paper – *Assistant Chief Executive*
- 6.2 20's Plenty Traffic Calming Measures – Outcome of town-wide consultation – *Director of Regeneration and Neighbourhoods*
- 6.3 Local Infrastructure Plan – *Director of Regeneration and Neighbourhoods*
- 6.4 Hartlepool Shadow Health and Wellbeing Board – *Director of Child and Adult Services*

**7. ITEMS FOR DISCUSSION/INFORMATION**

- 7.1 PFRA – Preliminary Flood Risk Assessment Report – *Director of Regeneration and Neighbourhoods*
- 7.2 Department for Work and Pensions – New Funding Opportunities 2011 – *Director of Regeneration and Neighbourhoods and Director of Child and Adult Services*
- 7.3 Southern Cross Healthcare – *Director of Child and Adult Services*

**8. REPORTS FROM OVERVIEW OF SCRUTINY FORUMS**

- 8.1 Scrutiny Investigation into 'Connected Care' – Action Plan – *Director of Child and Adult Services*

## CABINET REPORT

15<sup>th</sup> August 2011



**Report of:** Director of Regeneration & Neighbourhoods

**Subject:** FOOD LAW ENFORCEMENT SERVICE PLAN  
2011 / 2012

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### SUMMARY

#### 1. PURPOSE OF REPORT

To consider the Food Law Enforcement Service Plan for 2011/2012, which is a requirement under the Budget and Policy Framework.

#### 2. SUMMARY OF CONTENTS

The report sets out details of Hartlepool's Food Law Enforcement Service Plan 2011/12. The plan is a requirement of the Food Standards Agency and forms the basis on which the Authority may be monitored and audited to verify whether the service provided is effective in protecting the public. The plan sets out the Council's aims in respect of its food law service. Whilst focussing on 2011/12, it also identified longer term objectives as well as a review of performance for 2010/11.

#### 3. RELEVANCE TO CABINET

Executive to consider issues prior to presentation to Council.

#### 4. TYPE OF DECISION

The Food Law Enforcement Plan is part of the Budget and Policy Framework of the Council.

#### 5. DECISION MAKING ROUTE

Adult and Public Health Services Portfolio on 27<sup>th</sup> June 2011, Cabinet on 18<sup>th</sup> July 2011, Neighbourhood Services Scrutiny Forum on 27<sup>th</sup> July 2011, Cabinet on 15<sup>th</sup> August 2011 and Council on 15<sup>th</sup> September 2011.

**6. DECISION(S) REQUIRED**

Comments on the Food Law Enforcement Plan are invited.

**Report of:** Director of Regeneration & Neighbourhoods

**Subject:** Food Law Enforcement Service Plan  
2011/ 2012

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## 1. PURPOSE OF REPORT

- 1.1 To consider the Food Law Enforcement Service Plan for 2011/2012, which is a requirement under the Budget and Policy Framework.

## 2. BACKGROUND

- 2.1 The Food Standards Agency has a key role in overseeing local authority enforcement activities. They have duties to set and monitor standards of local authorities as well as carry out audits of enforcement activities to ensure that authorities are providing an effective service to protect public health and safety.
- 2.2 On 4 October 2000, the Food Standards Agency issued the document “Framework Agreement on Local Authority Food Law Enforcement”. The guidance provides information on how local authority enforcement service plans should be structured and what they should contain. Service Plans developed under this guidance will provide the basis on which local authorities will be monitored and audited by the Food Standards Agency.
- 2.3 The service planning guidance ensures that key areas of enforcement are covered in local service plans, whilst allowing for the inclusion of locally defined objectives.
- 2.4 The Food Law Enforcement Service Plan for 2011/12 is attached as **Appendix 1** and takes into account the guidance requirements.
- 2.5 The plan has been previously considered by Cabinet on the 18<sup>th</sup> July 2011 and by Neighbourhood Services Scrutiny Forum on 27<sup>th</sup> July 2011.

## 3. THE FOOD LAW ENFORCEMENT SERVICE PLAN

- 3.1 The Service Plan for 2011/12 has been updated to reflect last year’s performance.

3.2 The Plan covers the following:

(i) Service Aims and Objectives:

That the Authority's food law service ensures public safety by ensuring food, drink and packaging meets adequate standards.

(ii) Links with Community Strategy, Corporate Plan, Departmental and Divisional Plans:

How the Plan contributes towards the Council's main priorities (Jobs and the Economy, Lifelong Learning and Skills, Health and Wellbeing, Community Safety, Environment, Culture and Leisure and Strengthening Communities).

(iii) Legislative Powers and Other Actions Available:

Powers to achieve public safety include programmed inspections of premises, appropriate registration/approval, food inspections, provision of advice, investigation of food complaints and food poisoning outbreaks, as well as the microbiological and chemical sampling of food.

(iv) Resources, including financial, staffing and staff development.

(v) A review of performance for 2010/11.

**4. SUMMARY OF MAIN ISSUES RAISED IN THE PLAN**

4.1 During 2010/11 the service completed 100% of all programmed food hygiene inspections planned for the year. As a result of prioritising resources in this area and additional work generated by the Tall Ships Event we were unable to achieve the targets set in respect of food standards and feeding stuffs inspections. In total 199/248 (80%) of food standards inspections were achieved and 13/47(27.7%) of feeding stuffs inspections. The outstanding inspections will be added to the programme for 2011/2012.

4.2 A significant amount of resource went into the planning stage leading up to the Tall Ships Event to ensure that it ran as smoothly as possible. Prior to the event, liaison took place with partner agencies including the HSE, Police, Defra and other local authorities to ensure that we were prepared to respond to any matters of evident concern.

4.3 Officers carried out advisory visits to nearly 100 existing traders to discuss the potential impact on their businesses and how potential problems could be overcome. During the event a total of 112 inspections and 16 revisits were undertaken on the Tall Ships site and surrounding Marina area, with a further 20 inspections undertaken at

the Headland Carnival, which was also taking place. As the event went without any major hitches thankfully no formal enforcement action was necessary.

- 4.4 A total of 227 microbiological samples were taken during 2010/11, of which 44 were regarded as unsatisfactory; mainly due to high bacterial counts. Only 6 of these results related to food samples; 5 of which were resampled and reported to be satisfactory. A significant number of wiping cloths sampled were found to be unsatisfactory (13/19). This trend has been mirrored across the region. Advice was given to the food business operators and a guidance note is currently being prepared by the Health Protection Agency.
- 4.5 Relatively few food standards samples failed to meet statutory requirements (13/178); with the majority of failures relating to labelling declarations. Advice was given to the businesses concerned and where appropriate referrals were made to the Home Authority.
- 4.6 On 1<sup>st</sup> April 2007 the Council launched the Tees Valley Food Hygiene Award Scheme. Each business is awarded a star rating which reflects the risk rating given at the time of the last primary inspection. The star rating is made available to the public via the Council's website and the business is provided with a certificate to display on their premises.
- 4.7 The table below shows the results of the star ratings awarded to businesses at the start of the scheme on 1 April 2007, as compared with after 12, 24, 36 and 48 months:

No. of Stars	Number of Premises (1/4/07)	%	Number of Premises (1/4/08)	%	Number of Premises (1/4/09)	%	Number of Premises (1/4/10)	%	Number of Premises (1/4/11)	%
<b>5</b>	24/759	<b>3%</b>	85/762	<b>11.1%</b>	163/721	<b>22.6%</b>	237/709	<b>33.4%</b>	289/718	<b>40.2%</b>
<b>4</b>	155/759	<b>20%</b>	217/762	<b>28.5%</b>	233/721	<b>32.3%</b>	205/709	<b>28.9%</b>	200/718	<b>27.9%</b>
<b>3</b>	226/759	<b>30%</b>	294/762	<b>38.6%</b>	237/721	<b>32.9%</b>	195/709	<b>27.5%</b>	152/718	<b>21.2%</b>
<b>2</b>	262/759	<b>35%</b>	137/762	<b>18.0%</b>	65/721	<b>9%</b>	60/709	<b>8.5%</b>	62/718	<b>8.6%</b>
<b>1</b>	60/759	<b>8%</b>	26/762	<b>3.4%</b>	17/721	<b>2.4%</b>	12/709	<b>1.7%</b>	13/718	<b>1.8%</b>
<b>0</b>	32/759	<b>4%</b>	3/762	<b>0.4%</b>	6/721	<b>0.8%</b>	0/709	<b>0%</b>	2/718	<b>0.3%</b>

- 4.8 Whilst the number of premises awarded 3 stars and above is similar to the previous year (89.3% compared to 89.8% in 2009 -10) it is pleasing to note that there has been a significant increase in the proportion of 5 star ratings (a 6.8% increase from 2009 -10) .
- 4.9 As at the 1<sup>st</sup> April 2011, 94% of businesses in the borough were “Broadly Compliant” with food safety requirements (in 2008-09 the figure was 89.3%, and in 2009-10 it was 91.5%). For food standards 94% of businesses achieved broad compliance (in 2008-09 the figure was 93.3% and in 2009-10 it was 96.3%). We aim to concentrate our resources on carrying out interventions at those businesses which are deemed not to be ‘broadly compliant’ (those achieving 2 stars or less). In the current financial climate we anticipate that it may become increasingly difficult to secure improvements and will where necessary take enforcement action.
- 4.10 In November 2010, The Food Standards Agency launched a national Food Hygiene Rating Scheme (FHRS) however in spite of incentives being offered there were very few early adopters of the scheme. One of the main reasons why Hartlepool, in common with other councils, have chosen not to migrate to the FHRS scheme is that under this system, food premises will receive a higher rating than they did under our existing scheme. This could mean that some premises given three stars would receive a rating of four under the new system without improving their performance. Also under the new FHRS system there is a requirement to offer re-inspection for free, which has a manpower implication.
- 4.11 The FSA is currently undertaking a review of how food safety regulations are enforced in the UK and has announced that it is currently pursuing a programme of work to introduce legislation which will require local authorities to adopt the FHRS scheme. Whilst we support the idea of a national scheme, as our current scheme is working very successfully and there would be resource implications to change, we have no plans to migrate to the FHRS at this time.
- 4.12 During 2010/11 no Hygiene Emergency Prohibition Notices were served on businesses however an offer of a voluntary closure was accepted and officers worked with the business to ensure that food safety was not compromised. A total of 6 Hygiene Improvement Notices were served; these were issued in respect of two businesses to ensure compliance with food safety legislation. No prosecutions or Simple Cautions were undertaken.
- 4.13 During 2011/12 there are 360 programmed food hygiene interventions, 269 programmed food standards inspections and 31 feed hygiene inspections planned. (The number of premises liable for inspection fluctuates from year to year as the programme is based on the risk rating applied to the premises which determines the frequency of intervention).



An estimated 80 re-visits and 70 additional visits to new/changed premises will be required during the year.

- 4.14 During 2011/12 resources remain challenging. The Public Protection section lost 21% of its overall budget in 2010/11 as part of a Service Delivery Option review and efficiency savings and the service is anticipating further cuts (expected to be in the region of 10%) during 2011/12. Although so far we have not lost any additional posts which directly enforce food legislation due to the implications of previous losses of posts within the section we are having to distribute the workload amongst the remaining workforce to ensure that we make best use of our resources. We anticipate further pressures on the budget in subsequent years.
- 4.15 We will review and update our premises database to ensure it is accurate and reliable so that we can target our resources effectively.

## **5. RECOMMENDATIONS**

- 5.1 Members comments on the Food Law Enforcement Service Plan for 2011/2012 are invited prior to submission to Council.



# Hartlepool Borough Council

## Food Law Enforcement Service Plan 2011/12

## FOOD SERVICE PLAN 2011/12

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## **INTRODUCTION**

This Service Plan details how the food law service will be delivered by Hartlepool Borough Council. The food law service covers both food and feed enforcement.

The Plan accords with the requirements of the Framework Agreement on Local Authority Food Law Enforcement, and sets out the Council's aims in respect of its food law service and the means by which those aims are to be fulfilled. Whilst focussing primarily on the year 2011/12, where relevant, longer-term objectives are identified. Additionally, there is a review of performance for 2010/11 and this aims to inform decisions about how best to build on past successes and address performance gaps.

The Plan is reviewed annually and has been subject to Portfolio Holder approval.

### **1 SERVICE AIMS AND OBJECTIVES**

#### **1.1 Service Aims and Objectives**

Hartlepool Borough Council aims to ensure:

- that food and drink intended for human consumption which is produced, stored, distributed, handled or consumed in the borough is without risk to the health or safety of the consumer;
- food and food packaging meets standards of quality, composition and labelling and reputable food businesses are not prejudiced by unfair competition; and
- the effective delivery of its food law service so as to secure appropriate levels of public safety in relation to food hygiene, food standards and feeding stuffs enforcement.

In its delivery of the service the Council will have regard to directions from the Food Standards Agency (FSA), Approved Codes of Practice, the Regulators' Code of Compliance and other relevant guidance.

#### **1.2 Links to Corporate Objectives and Plans**

This service plan fits into the hierarchy of the Council's planning process as follows:

- Hartlepool's Community Strategy - the Local Strategic Partnership's (the Hartlepool Partnership) goal is to *"regenerate Hartlepool by promoting economic, social and environmental wellbeing in a sustainable manner"*.
- Corporate Plan
- Regeneration and Neighbourhoods Departmental Plan
- Food Law Enforcement Service Plan - sets out how the Council aims to deliver this statutory service and the Consumer Services section's contribution to corporate objectives

The Council's Community Strategy, called Hartlepool's Ambition, looks ahead to 2020 and sets out its long-term vision and aspirations for the future:

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

This Food Law Service Plan contributes towards the vision and the Council's main priorities in the following ways:

### **Jobs and the Economy**

By providing advice and information to new and existing businesses to assist them in meeting their legal requirements with regard to food law requirements, and avoid potential costly action at a later stage;

### **Lifelong Learning and Skills**

By providing and facilitating training for food handlers on food safety as part of lifelong learning, and promoting an improved awareness of food safety and food quality issues more generally within the community;

### **Health and Wellbeing**

By ensuring that food businesses where people eat and drink, or from which they purchase their food and drink, are hygienic and that the food and drink sold is safe, of good quality and correctly described and labelled to inform choice;

### **Community Safety**

By encouraging awareness amongst food businesses of the role they can play in reducing problems in their community by keeping premises in a clean and tidy condition;

### **Environment**

By encouraging businesses to be aware of environmental issues which they can control, such as proper disposal of food waste;

### **Culture and Leisure**

By exploring ways to promote high standards of food law compliance in hotels, other tourist accommodation, public houses and other catering and retail premises.

## **Strengthening Communities**

By developing ways of communicating well with all customers, including food business operators whose first language is not English, and ensuring that we deliver our service equitably to all.

This Food Law Enforcement Service Plan similarly contributes to the vision set out in the Regeneration and Neighbourhoods Department Plan *“to work hand in hand with communities and to provide and develop excellent services that will improve the quality of life for people living in Hartlepool neighbourhoods”*.

Within this, the Commercial Services team has a commitment to ensure the safe production, manufacture, storage, handling and preparation of food and its proper composition and labelling.

The Council is committed to the principles of equality and diversity. The Food Law Enforcement Service Plan consequently aims to ensure that the same high standards of service is offered to all, and that recognition is given to the varying needs and backgrounds of its customers.

## **2 BACKGROUND**

### **2.1 Profile of the Local Authority**

Hartlepool is situated on the North East coast of England. The Borough consists of the town of Hartlepool and a number of small outlying villages. The total area of the Borough is 9,390 hectares.

Hartlepool is a unitary authority, providing a full range of services. It adjoins Durham County Council to the north and west and Stockton on Tees Borough Council to the south. The residential population is 90,161 of which ethnic minorities comprise 1.2% (2001 census).

The borough contains a rich mix of the very old and the very new. Its historic beginnings can be traced back to the discovery of an iron-age settlement at Catcote Village and the headland, known locally as “Old Hartlepool” is steeped in history. On the other hand, the former South Docks area has been transformed in to a fabulous 500-berth Marina.

In August , Hartlepool welcomed an estimated 800,000 visitors for the finale of the prestigious 2010 Tall Ships' Races; an internationally acclaimed annual competition held every summer in European waters. The 4 day event provided a rare chance to get ‘up close and personal’ with 60 of the world’s most impressive sailing vessels with the Tall Ships Village offering an amazing variety of attractions, including live bands, street theatre, a folk festival and a World Market, where a range of exotic foods were available.

The tourist industry impacts upon recreational opportunities, shopping facilities and leisure facilities, including the provision of food and drink outlets that include restaurants, bars and cafes. There are currently 853<sup>1</sup> food establishments in Hartlepool, all of which must be subject to intervention to ensure food safety and standards are being met.

## **2.2 Organisational Structure**

Hartlepool Borough Council is a democratic organisation. It comprises of 48 elected Councilors who are responsible for agreeing policies about provision of services and how the Council's money is spent. The key decision making body is the Cabinet. Members of the Cabinet are appointed by the elected Mayor, and each has a portfolio of responsibility for particular services that the Council provides.

The Portfolio Holder for Adult & Public Health Services provides political oversight for food law enforcement. The Management Organisation is led by the Chief Executive. The Council is made up of three Departments:

Chief Executive's  
Child & Adult Services  
Regeneration & Neighbourhoods

The food law service is delivered through the Regeneration & Planning Division of the Regeneration & Neighbourhoods Department.

## **2.3 Scope of the Food Service**

The Council's Commercial Services team is a constituent part of the Regeneration & Planning Division and is responsible for delivery of the food service. The food service covers both food and feed enforcement.

Service delivery broadly comprises:

- programmed inspections of premises for food hygiene, food standards and feed hygiene;
- registration and approval of premises;
- microbiological sampling and chemical analysis of food and animal feed;
- food & feed Inspection;
- checks of imported food/feed at retail and catering premises;
- provision of advice, educational materials and courses to food/feed businesses;
- investigation of food and feed related complaints;
- investigation of cases of food and water borne infectious disease, and outbreak control;
- dealing with food/feed safety incidents; and
- promotional and advisory work.

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<sup>1</sup> This figure includes a number of low risk premises which fall outside the intervention programme i.e. which have no inspectable risk (NIR).

Effective performance of the food law service necessitates a range of joint working arrangements with other local authorities and agencies such as the Food Standards Agency (FSA), Health Protection Agency (HPA), HM Revenue & Customs (HMRC), Department of Environment, Food & Rural Affairs (Defra) & the Animal Medicines Inspectorate (AMI). The Council aims to ensure that effective joint working arrangements are in place and that officers of the service contribute to the on going development of those arrangements.

The service is also responsible for the following:

- health and safety enforcement;
- the provision of guidance, advice and enforcement in respect of smoke free legislation;
- water sampling; including both private and mains supplies & bathing water;
- port health and
- provision of assistance for animal health and welfare inspections, complaint investigation and animal movement issues.

## **2.4 Demands on the Food Service**

The Council is responsible for 853 food premises within the borough mostly comprising retailers, manufacturers and caterers. The food businesses are predominantly small to medium sized establishments and the majority of these are liable to food hygiene and food standards inspections.

In addition there are 88 registered feed businesses for which the Council is the enforcing authority.

The delivery point for the food enforcement service is at:

Bryan Hanson House  
Hanson Square  
Hartlepool  
TS24 7BT

Telephone: (01429) 266522  
Fax: (01429) 523308

Members of the public and businesses may access the service at this point from 08.30 - 17.00 Monday to Thursday and 08.30 - 16.30 on Friday.

A 24-hour emergency call-out also operates to deal with Environmental Health emergencies which occur out of hours. Contact can be made via Hartlepool Housing's Greenbank Offices on (01429) 869424.



## **2.5 Enforcement Policy**

The Council has signed up to the Enforcement Concordat and has in place a Food Law Enforcement Policy, which was approved by the Adult & Public Health Services Portfolio Holder on 21 March 2005.

This policy has recently been revised and incorporated into the Public Protection Enforcement Policy; which is scheduled to be approved by the Adult & Public Health Services Portfolio Holder in June 2011.

## **3 SERVICE DELIVERY**

### **3.1.1 Interventions Programme**

The Council has a wide range of duties and powers conferred on it in relation to food law enforcement.

The Council must appoint and authorise inspectors, having suitable qualifications and competencies for the purpose of carrying out duties under the Food Safety Act 1990 and Regulations made under it and also specific food regulations made under the European Communities Act 1972, which include the Food Hygiene (England) Regulations 2006 and the Official Feed and Food Controls (England) Regulations 2009.

Authorised officers can inspect food at any stage of the production, manufacturing, distribution and retail chain. The Council must draw up and implement an annual programme of risk-based interventions so as to ensure that food and feeding stuffs are inspected in accordance with relevant legislation, the Food Law Code of Practice and centrally issued guidance.

The Code allows local authorities to choose the most appropriate action to be taken to drive up levels of compliance with food law by food establishments. In so doing it takes account of the recommendations in the 'Reducing Administrative Burdens: Effective Inspection and Enforcement'.

Interventions are defined as activities that are designed to monitor, support and increase food law compliance within a food establishment. They include:

- Inspections / Audit;
- Surveillance / Verification;
- Sampling;
- Education, advice and coaching provided at a food establishment; and
- Information and intelligence gathering.

Other activities that monitor, promote and drive up compliance with food law in food establishments, for instance 'Alternative Enforcement Strategies' for low risk establishments and education and advisory work with businesses away from the premises (e.g. seminars/training events) remain available for local authorities to use.

### **3.1.2 Broadly Compliant Food Establishments**

The Code established the concept of 'Broadly Compliant' food establishments. In respect of food hygiene, "broadly compliant", is defined as an establishment that has an intervention rating score of not more than 10 points under each of the following components;

- Level of (Current) Hygiene Compliance;
- Level of (Current) Structural Compliance; and
- Confidence in Management/Control Systems

"Broadly Compliant", in respect of food standards, is defined as an establishment that has an intervention rating score of not more than 10 points under the following:

- Level of (Current) Compliance
- Confidence in Management/Control Systems

Local Authorities are required to report the percentage of "Broadly Compliant" food establishments in their area to the FSA on an annual basis through the Local Authority Enforcement Monitoring System (LAEMS). The Agency will use this outcome measure to monitor the effectiveness of a local authority's regulatory service.

As at the 1<sup>st</sup> April 2011, 94% of businesses in the borough were "Broadly Compliant" with food safety requirements (in 2008-09 the figure was 89.3%, and in 2009-10 it was 91.5%). For food standards 94% of businesses achieved broad compliance (in 2008-09 the figure was 93.3% and in 2009-10 it was 96.3%). We aim to concentrate our resources to increase our current rate by the end of 2011/12 however given the current financial climate this will be extremely challenging.

Since April 2008 local authorities are required to report the same information to the National Audit Office under National Indicator 184.

The Food Law Enforcement Plan will help to promote efficient and effective approaches to regulatory inspection and enforcement that will improve regulatory outcomes without imposing unnecessary burdens. The term enforcement does not only refer to formal actions, it can also relate to advisory visits and inspections.

## **3.2 Service Delivery Mechanisms**

### **3.2.1 Intervention Programme**

Local Authorities must document, maintain and implement an interventions programme that includes all the establishments for which they have food law enforcement responsibility.

Interventions carried out for food hygiene, food standards and for feeding stuffs are carried out in accordance with the Council's policy and standard operating procedures on food/feed premises inspections and relevant national guidance.

Information on premises liable to interventions is held on the APP computerised system. An intervention schedule is produced from this system at the commencement of each reporting year.

The food hygiene, food standards and feeding stuffs intervention programmes are risk-based systems that accord with current guidance.

The current premises profiles are shown in the tables overleaf:

**Food Hygiene:**

<b>Risk Category</b>	<b>Frequency of Inspection</b>	<b>No of Premises</b>
A	6 months	2
B	12 months	37
C	18 months	274
D	24 months	203
E	36 months or other enforcement	205
Unclassified	Requiring inspection/risk rating	0
No Inspectable Risk (NIR)		132
Total		853

**Food Standards:**

<b>Risk Category</b>	<b>Frequency of Inspection</b>	<b>No of Premises</b>
A	12 months	2
B	24 months	132
C	36 months or other enforcement	585
Unclassified		2
No Inspectable Risk (NIR)		132
Total		853

**Feed Hygiene**

<b>Risk Category</b>	<b>Frequency of Inspection</b>	<b>No of Premises</b>
A	12 months	0
B	24 months	21
C	60 months	43
Unclassified		24
Total		88

The intervention programme for 2011/12 comprises the following number of scheduled food hygiene and food standards interventions:

**Food Hygiene:**

<b>Risk Category</b>	<b>Frequency of Inspection</b>	<b>No of Interventions</b>
A	6 months	2
B	12 months	35
C	18 months	161
D	24 months	89
E	36 months or alternative enforcement strategy	41
Unclassified		32
<b>Total</b>		<b>360</b>

**Approved Establishments:**

There are 2 approved food establishments in the borough; a fishery products establishment and a manufacturer of food ingredients. These premises are subject to more stringent hygiene provisions than those applied to registered food businesses. These premises require considerably more staff resources for inspection, supervision and advice on meeting enhanced standards.

**Primary Producers:**

On 1 January 2006 EU food hygiene legislation applicable to primary production (farmers & growers) came into effect. On the basis that the local authority officers were already present on farms in relation to animal welfare and feed legislation, the responsibility was given to the Commercial Services team to enforce this legislation. The service has 52 primary producers. Targets have been set for Councils to inspect 25% of farms classified as high risk and 2% of low risk premises. We currently do not have any high risk premises.

**Food Standards:**

<b>Risk Category</b>	<b>Frequency of Inspection</b>	<b>No of Interventions</b>
A	12 months	2
B	24 months	63
C	36 months or alternative enforcement	154
Not classified		50
<b>Total</b>		<b>269</b>

## Feed Hygiene:

Risk Category	Frequency of Inspection	No of Interventions
A	12 months	0
B	24 months	16
C	60 months	0
Unclassified		15
Total		31

An estimated 10% of programmed interventions relate to premises where it is more appropriate to conduct visits outside the standard working time hours. Arrangements are in place to visit these premises out of hours by making use of the Council's flexible working arrangements, lieu time facilities and, if necessary, paid overtime provisions. In addition, these arrangements will permit the occasional inspection of premises which open outside of, as well as during standard work time hours. The Food Law Code of Practice requires inspections of these premises at varying times of operation.

As a follow-up to primary inspections, the service undertakes revisits in accordance with current policy. For the year 2011/12, the inspection programme is expected to generate an estimated 80 revisits. A number of these premises revisits will be undertaken outside standard working hours and arrangements are in place as described above to facilitate this.

It is anticipated that consistent, high quality programmed inspections by the service will, over time, result in a general improvement in standards, reducing the frequency for recourse to formal action.

The performance against inspection targets for all food hygiene and food standards inspections is reported quarterly to the Adult & Public Health Services Portfolio Holder as part of the Regeneration & Neighbourhoods Department plan update and recorded on Covalent.

## Port Health

Hartlepool is a Port Health Authority although currently no food or feed enters the port. Work in relation to imported food control can therefore ordinarily be accommodated within the day-to-day workload of the service, however if circumstances were to change whereby food or feed was imported/exported additional resources would be required which would have an effect on the programmed inspection workload and other service demands.

## Fish Quay

There is a Fish Quay within the Authority's area which provides a market hall although it is not currently operational and there are associated fish processing units, one of which is an approved establishment.

### **3.2.2 Registration and Approval of Premises**

Food and feed business operators must register their establishments with the relevant local authority. This provision allows for the service to maintain an up-to-date premises database and facilitates the timely inspection of new premises and, when considered necessary, premises that have changed food/feed business operator or type of use.

The receipt of a food/feed premises registration form initiates an inspection of all new premises. In the case of existing premises, where a change of food/feed business operator is notified, other than at the time of a programmed inspection, an assessment is made of the need for inspection based on the date of the next programmed intervention, premises history, and whether any significant change in the type of business is being notified. It is anticipated that approximately 70 additional food premises inspections will be generated for new food businesses during 2011/12.

A competent authority must with some exceptions, approve food business establishments that handle food of animal origin. If an establishment needs approval, it does not need to be registered as well.

Food premises which require approval include those that are producing any, or any combination of the following; minced meat, meat preparations, mechanically separated meat, meat products, live bivalve molluscs, fishery products, raw milk (other than raw cows' milk), dairy products, eggs (not primary production) and egg products, frogs legs and snails, rendered animal fats and greaves, treated stomachs, bladders and intestines, gelatine and collagen and certain cold stores and wholesale markets.

The approval regime necessitates full compliance with the relevant requirements of Regulation (EC) No 852/2004 and Regulation (EC) 853/2004.

There are 2 premises in the Borough which are subject to approval; a fishery products establishment and a manufacturer of food ingredients.

From 1 January 2006 feed businesses were required be approved or registered with their local authority under the terms of the EC Feed Hygiene Regulation (183/2005).

This legislation relates to nearly all feed businesses. This means, for example, that importers and sellers of feed, hauliers and storage businesses now require approval or registration. Livestock and arable farms growing and selling crops for feed are also within the scope of the provisions of the regulation.

### 3.2.3 Microbiological and Chemical Analysis of Food/Feed

An annual food/feed sampling programme is undertaken with samples being procured for the purposes of microbiological or chemical analyses. This programme is undertaken in accordance with the service's Food/Feed Sampling Policy.

All officers taking formal samples must follow the guidance contained in and be qualified in accordance with relevant legislative requirements and centrally issued guidance, including that contained in the Food Law Code of Practice/Feed Law Enforcement Policy and associated Practice Guidance. Follow-up action is carried out in accordance with the service's sampling policy.

Microbiological analysis of food and water samples is undertaken by the Health Protection Agency's Laboratory based at Leeds. Chemical analysis of informal food/feed samples is undertaken by Tees Valley Measurement (a joint funded laboratory based at Canon Park, Middlesbrough) and formal samples are analysed by Durham Scientific Services, who the Authority has appointed as their Public/Agricultural Analyst.

From April 2005 sampling allocations from the Health Protection Agency (HPA), which is responsible for the appropriate laboratory facilities, has been based on a credits system dependant on the type of sample being submitted and examination required.

The allocation for Hartlepool is 8,300 credits for the year 2011/12. Points are allocated as follows:

<b>Sample type</b>	<b>No of credits</b>
Food Basic	25
Food Complex	35
Water Basic	20
Water Complex	25
Dairy Products	10
Environmental Basic	20
Environmental Complex	25
Certification	15

A sampling programme is produced each year for the start of April. The sampling programme for 2011/12 includes national and regional surveys organised by Local Government Regulation (LGR) and the HPA/Local Authority Liaison Group.

Sampling programmes have been agreed with the Food Examiners and Tees Valley Measurement. These have regard to the nature of food/feed businesses in Hartlepool and will focus on locally manufactured/processed foods/feed and food/feed targeted as a result of previous sampling and complaints.

In 2007 the Food Standards Agency, the Local Authorities Coordinators of Regulatory Services (LACORS) and the Association of Port Health Authorities set a national target that imported food should make up 10% of the food samples taken by local and port health authorities. The service shall therefore aim to meet this target.

### Microbiological Food Sampling Plan 2011/12

<p><b>April 2011</b></p> <p>Re-samples from previous Sandwich Shop Survey</p>	<p><b>May 2011</b></p> <p>LGR/HPA Cleaning Standards Survey</p> <p>Local Hot Cabinet Survey</p>	<p><b>June 2011</b></p> <p>LGR/HPA Cleaning Standards Survey</p> <p>Local Hot Cabinet Survey</p> <p>Local Mayonnaise Based *RTE Foods Survey</p>
<p><b>July 2011</b></p> <p>LGR/HPA Cleaning Standards Survey</p> <p>Local Hot Cabinet Survey</p> <p>Local Mayonnaise Based RTE Foods Survey</p> <p><i>**LGR/HPA Reactive Study tbc</i></p>	<p><b>August 2011</b></p> <p>LGR/HPA Cleaning Standards Survey</p> <p>Local Hot Cabinet Survey</p> <p>Local Mayonnaise Based RTE Foods Survey</p> <p><i>**LGR/HPA Reactive Study tbc</i></p>	<p><b>September 2011</b></p> <p>LGR/HPA Cleaning Standards Survey</p> <p>Local Hot Cabinet Survey</p> <p>Local Mayonnaise Based RTE Foods Survey</p> <p><i>**LGR/HPA Reactive Study tbc</i></p>
<p><b>October 2011</b></p> <p>LGR/HPA Pennington 3 Survey</p> <p>LGR/HPA Imported Meats Survey</p>	<p><b>November 2011</b></p> <p>LGR/HPA Pennington 3 Survey</p> <p>LGR/HPA Imported Meats Survey</p>	<p><b>December 2011</b></p> <p>LGR/HPA Pennington 3 Survey</p> <p>Local Cream Cakes Survey</p>
<p><b>January 2012</b></p> <p>LGR/HPA Pennington 3 Survey</p> <p><i>**LGR/HPA Reactive Study tbc</i></p> <p>LGR/HPA Herbs and Spices Survey</p>	<p><b>February 2012</b></p> <p>LGR/HPA Pennington 3 Survey</p> <p><i>**LGR/HPA Reactive Study tbc</i></p> <p>LGR/HPA Herbs and Spices Survey</p>	<p><b>March 2012</b></p> <p>LGR/HPA Pennington 3 Survey</p> <p><i>**LGR/HPA Reactive Study tbc</i></p>

\* RTE = Ready to Eat Foods



## Composition and Labelling Sampling Plan 2011/12

MONTH	TEST	SAMPLES
April	Floral origin of honey	12
May	Sodium declaration of canned vegetables Labels of above products	12 12
June	Added water in cooked meats Labels of the above products	6 6
July	Fish species from local fish and chip shops	15
August	Feed sampling – Mycotoxins	2
September	Meat content of pies from local suppliers	3
October	Feed sampling – Statutory Statement Meat content of pies from local suppliers	2 3
November	School meals survey	6
December	ABV – alcohol in restaurant Spirit testing	15
January	Sugar profile of jams and preserves Labels of the above products	12 12
February	Joint sampling – meat species	10
March	Feed sampling - supplements	2

Total samples = 130

### Feeding Stuffs

At present feeding stuffs sampling is being given a low priority due to the lack of local manufacturers and packers. An annual feeding stuffs sampling plan however has been drawn up to carry out sampling at the most appropriate time of the year in respect of farms, pet shops and other retail establishments. It is planned that six animal feedingstuffs samples will be taken; two of which will be taken as part of a regional sampling programme.

Together with four other members of the North East Trading Standards Authorities (NETSA) Feed Group we have also submitted a regional bid for funding from the FSA to sample feedstuff as part of the National Co-ordinated Risk-Based Food and Feed Sampling Programme 2011-12. We aim to take samples of any imported feed entering local ports of entry between April to August 2011 and/or samples of feed which has been dried on farm.

## Feeding stuffs Sampling Plan 2011/12

April - June	0
July - September	2 samples from grain stores for mycotoxins
October - December	feed samples (statutory statements)
January - March	2 supplements

### Private Water Supplies

A local brewery uses a private water supply in its food production. Regular sampling is carried out of this supply in accordance with relevant legislative regulations.

### 3.2.4 Food inspection

The purpose of food inspection is to check that food complies with food safety requirements and is fit for human consumption, and is properly described and labelled. As such, the activity of inspecting food commodities, including imported food where relevant, forms an integral part of the food premises inspection programme. Food inspection activities are undertaken in accordance with national guidelines.

### 3.2.5 Provision of advice and information to food/feed businesses

It is recognised that for most local food businesses contact with an officer of the service provides the best opportunity to obtain information and tailored advice on legislative requirements and good practice. Officers are mindful of this and aim to ensure that when undertaking premises inspections sufficient opportunity exists for food business operators to seek advice.

In addition, advisory leaflets including those produced by the Food Standards Agency are made available.

In February 2006 the Food Standards Agency introduced Safer Food Better Business (SFBB) aimed at assisting smaller catering businesses to introduce a documented food safety management system. Since this time significant resources have been directed towards assisting businesses to fully implement a documented food safety management system.

Guidance is also prepared and distributed to food businesses relating to changes in legislative requirements. The service also encourages new food/feed business operators and existing businesses to seek guidance and advice on their business. It is estimated that 35 such advisory visits will be carried out during the year.

On 1<sup>st</sup> April 2007 the Council launched the Tees Valley Food Hygiene Award Scheme. Initially each business was awarded a provisional star rating which reflected the risk rating given at the time of the last primary inspection. Since then businesses have been re-inspected and their risk and star rating reviewed in accordance with our intervention programme. The business' current star rating is made available to the public via the Council's website and the business is provided with a certificate to display on their premises. The service has made a commitment to work with businesses to improve their rating, in particular those awarded less than 3 stars.

Feeding stuffs advice is available via the Council's web site.

A limited level of promotional work is also undertaken by the service on food safety, with minimal impact on programmed enforcement work.

### **3.2.6 Investigation of Food / Feed Complaints**

The service receives approximately 36 complaints, each year concerning food/feed, all of which are subject to investigation. An initial response is made to these complaints within two working days. Whilst many complaints are investigated with minimal resource requirements, some more complex cases may be resource-intensive and potentially affect programmed inspection workloads.

All investigations are conducted having regard to the guidance on the 'Home Authority Principle'.

The procedures for receipt and investigation of food/feed complaints are set out in detailed guidance and internal policy documents.

### **3.2.7 Investigation of Cases of Food Poisoning and Outbreak Control**

Incidents of food related infectious disease are investigated in liaison with the North East Health Protection Unit and in the case of outbreaks in accordance with the Health Protection Unit's Outbreak Control Policy.

Where it appears that an outbreak exists the Principal EHO (Commercial Services) or an EHO, will liaise with the local Consultant in Communicable Disease Control and, where necessary, the North East Health Protection Unit, to determine the need to convene an Outbreak Control Team. Further liaison may be necessary with agencies such as the Food Standards Agency, the Health Protection Agency, Hartlepool Water and Northumbrian Water.

It is estimated that between 100-150 food poisoning notifications are received each year, a large proportion of which are confirmed cases of Campylobacter. As relatively little benefit has been demonstrated from the investigation of individual sporadic cases of Campylobacter only those who are food handlers or live/work in a residential care home will now be routinely investigated.

Any cluster or outbreak identified by the HPA or Environmental Health will be investigated following the agreed outbreak investigation arrangements. In the event of any major food poisoning outbreak a significant burden is likely to be placed on the service and this would inevitably impact on the performance of the inspection programme.

### **3.2.8 Dealing with Food / Feed Safety Incidents**

A national alert system exists for the rapid dissemination of information about food and feed hazards and product recalls, this is known as the food/feed alert warning system.

All food and feed alerts received by the service are dealt with in accordance with national guidance and internal quality procedures.

Food and feed alert warnings are received by the service from The Food Standards Agency via the electronic mail system, and EHCNet during working hours. Several officers have also subscribed to receive alerts via their personal mobile phones.

The Principal EHO (Commercial Services) or, if absent, the Public Protection Manager ensures that a timely and appropriate response is made to each alert.

Out of hours contact is arranged through Hartlepool Housing's Greenbank Offices, telephone number 01429 869424.

In the event of a serious local incident, or a wider food safety problem emanating from production in Hartlepool, the Food Standards Agency will be alerted in accordance with guidance.

Whilst it is difficult to predict with any certainty the number of food safety incidents that will arise, it is estimated that the service is likely to be notified of 50 food alerts, product recalls or withdrawals during 2011/12, a small proportion of which will require action to be taken by the Authority. This level of work can ordinarily be accommodated within the day-to-day workload of the service, but more serious incidents may require additional resources which may have an effect on the programmed inspection workload and other service demands.

### **3.2.9 Complaints relating to Food/Feed in Premises**

The service investigates all complaints that it receives about food/feed safety and food standards conditions and practices in food/feed businesses. An initial response to any complaint is made within two working days. In such cases the confidentiality of the complainant is paramount. All anonymous complaints are also currently investigated.

The purpose of investigation is to determine the validity of the complaint and, where appropriate, to seek to ensure that any deficiency is properly addressed. The general approach is to assist the food/feed business operator in ensuring good standards of compliance, although enforcement action may be necessary where there is failure in the management of food/feed safety, or regulatory non-compliance.

Based on the number of complaints in 2010/11 it is estimated that approximately 21 such complaints will be received in 2011/12.

### **3.3 Complaints Against Our Staff**

Anyone who is aggrieved by the actions of a member of staff is encouraged, in the first instance, to contact the employee's line manager. Details of how and who to make contact with are contained in the inspection report left at the time of an inspection.

Formal complaints are investigated in accordance with the Council's corporate complaint procedure.

### **3.4 Liaison Arrangements**

The service actively participates in local and regional activities and is represented on the following:

- Tees Valley Heads of Public Protection Group
- Tees Valley Food Liaison Group
- Tees Valley HPA/Local Authority Sampling Group
- Tees Valley Public Health Group
- North East Public Protection Partnership
- North East Trading Standards Liaison Group, which incorporates the
- North East Trading Standards Animal Feed Group

There is also liaison with other organisations including the Chartered Institute of Environmental Health, the Trading Standards Institute, the Health Protection Agency, Defra / Animal Health, OFSTED and the Care Quality Commission.

Officers also work in liaison with the Council's Planning, Development Control and Licensing teams.

### **3.5 Home Authority Principle / Primary Authority Scheme**

The introduction of the Primary Authority Scheme in April 2009 under the provisions of the Regulatory Enforcement and Sanctions Act 2008 placed a statutory obligation on the Council to provide a significantly expanded range of Home Authority services to local businesses when requested by that business. There are opportunities for local authorities to recover costs from businesses to provide this premium service.

The Authority is committed to the LACORS Home Authority Principle, although at present there are no formal arrangements with food/feed businesses to act as a Primary Authority. The Authority does however act as Originating Authority for a brewery and a food manufacturer. Regular visits are made to these premises to maintain dialogue with management and an up to date knowledge of operations.

## **4 RESOURCES**

### **4.1 Financial Resources**

The annual budget for the Consumer Services section in the year 2011/12 is:

	£ 000.0
Employees	513.3
Other Expenditure	142.1
Income	(34.4)
Net Budget	621.1

This budget is for all services provided by this section including Health & Safety, Animal Health, Trading Standards and resources are allocated in accordance with service demands. The figures do not include the budget for administrative / support services which are now incorporated into the overall budget.

### **4.2 Staffing Allocation**

The Director of Regeneration & Neighbourhoods has overall responsibility for the delivery of the food/feed law service. The Assistant Director Regeneration & Planning has responsibility for ensuring the delivery of the Council's Public Protection service, including delivery of the food/feed law service, in accordance with the service plan.

The Public Protection Manager, with the requisite qualifications and experience, is designated as lead officer in relation to food safety and food standards functions and has responsibility for the management of the service.

The resources determined necessary to deliver the service in 2011/12 are as follows:

1 x 0.20 FTE Public Protection Manager (with responsibility also for Health & Safety, Licensing, Trading Standards & Environmental Protection)

1 x 0.35 FTE Principal EHO (Commercial Services)(with responsibility also for Health & Safety and Animal Health)

3 x FTE EHO (with requisite qualifications and experience and with responsibility also for Health & Safety)

1 x 0.56 FTE Part-time EHO (with requisite qualifications and experience and with responsibility also for Health & Safety)

1 x FTE Technical Officer Food (with requisite qualifications and experience)

The Public Protection Manager has responsibility for planning service delivery and management of the Food Law service, Health & Safety at Work, Licensing, Public Health, Water Quality, Trading Standards, Animal Health & Welfare, Environmental Protection and I.T. as well as general management responsibilities as a member of the Regeneration & Planning Management Team.

The Principal EHO (Commercial Services) has responsibility for the day to day supervision of the Food/Feed Law Service, Health & Safety at Work, Public Health, Water Quality and Animal Health & Welfare. The Principal EHO (Commercial Services) is designated as lead officer in relation to animal feed and imported food control.

The EHO's have responsibility for the performance of the food premises inspection programme as well as the delivery of all other aspects of the food law service, particularly more complex investigations. In addition these officers undertake Health & Safety at Work enforcement.

The Technical Officer (Food) is also responsible for inspections, as well as revisits, investigation of less complex complaints and investigation of incidents of food-borne disease.

Authorised Trading Standards Officers have responsibility for the performance of the feed premises intervention programme as well as the delivery of all other aspects of the feed law service.

Administrative support is provided by Support Services based within the Regeneration & Neighbourhoods department.

All staff engaged in food/feed safety law enforcement activity are suitably trained and qualified and appropriately authorised in accordance with guidance and internal policy.

Staff undertaking educational and other support duties are suitably qualified and experienced to carry out this work.

### **4.3 Staff Development**

The qualifications and training of staff engaged in food/feed law enforcement are prescribed and this will be reflected in the Council's policy in respect of appointment and authorisation of officers.

It is a mandatory requirement for officers of the food/feed law service to maintain their professional competency by undertaking a minimum of 10 hours core training each year through attendance at accredited short courses, seminars or conferences. This is also consistent with the requirements of the relevant professional bodies.

The Council is committed to the personal development of staff and has in place Personal Development Plans for all members of staff.

The staff Personal Development Plan scheme allows for the formal identification of the training needs of staff members in terms of personal development linked with the development needs of the service on an annual basis. The outcome of the process is the formulation of a Personal Development Plan that clearly prioritises training requirements of individual staff members. The Personal Development Plans are reviewed six monthly.

The details of individual Personal Development plans are not included in this document but in general terms the priorities for the service are concerned with ensuring up to date knowledge and awareness of legislation, building capacity within the team with particular regard to approved establishments, the provision of food hygiene training courses, developing the role of the Food Safety Officer, and training and development of new staff joining the team.

Detailed records are maintained by the service relating to all training received by officers.

#### **4.4 Equipment and Facilities**

A range of equipment and facilities are required for the effective operation of the food/feed law service. The service has a documented standard operating procedure that ensures the proper maintenance and calibration of equipment and its removal from use if found to be defective.

The service has a computerised performance management system, the Authority Public Protection computer system (APP). This is capable of maintaining up to date accurate data relating to the activities of the food/feed law service. A documented database management standard operating procedure has been produced to ensure that the system is properly maintained, up to date and secure. The system is used for the generation of the inspection programmes, the recording and tracking of all food/feed interventions, the production of statutory returns and the effective management of performance.

### **5. QUALITY ASSESSMENT**

The Council is committed to quality service provision. To support this commitment the food law service seeks to ensure consistent, effective, efficient and ethical service delivery that constitutes value for money.

A range of performance monitoring information will be used to assess the extent to which the food service achieves this objective and will include on-going monitoring against pre-set targets, both internal and external audits and stakeholder feedback.

Specifically the Principal EHO (Commercial Services) will carry out accompanied visits with officers undertaking inspections, investigations and other duties for the purpose of monitoring consistency and quality of the inspection and other visits carried out as well as maintaining and giving feedback with regard to associated documentation and reports.



It is possible that the Food Standards Agency may at any time notify the Council of their intention to carry out an audit of the service.

## **6 REVIEW OF 2010/11 FOOD SERVICE PLAN**

### **6.1 Review against the Service Plan**

It is recognised that a key element of the service planning process is the rational review of past performance. In the formulation of this service plan a review has been conducted of performance against those targets established for the year 2010/11.

This service plan will be reviewed at the conclusion of the year 2011/12 and at any point during the year where significant legislative changes or other relevant factors occur during the year. It is the responsibility of the Public Protection Manager to carry out that review with the Assistant Director Regeneration & Planning.

The service plan review will identify any shortfalls in service delivery and will inform decisions about future staffing and resource allocation, service standards, targets and priorities.

Following any review leading to proposed revision of the service plan Council approval will be sought.

### **6.2 Performance Review 2010/11**

This section describes performance of the service in key areas during 2010/11.

#### **6.2.1 Intervention Programme**

Our target is to complete 100% of the inspection programme for food hygiene, food standards and feeding stuffs. These are extremely challenging targets.

During the year we successfully completed all planned food hygiene inspections, however as a result of prioritising resources in this area and the additional work generated by the Tall Ships Event, we were unable to achieve our targets in respect of food standards and feeding stuffs inspections; 80% of food standards inspections were achieved and 27.7% of feeding stuffs. The outstanding inspections (none of which are high risk) will be added to the programme for 2011/12.

We met our 2 working day response time for all complaints.

## **6.2.2 Registration and Approval of premises**

Premises subject to approval were inspected and given relevant guidance.

## **6.2.3 Advice and Enforcement in relation to the Tall Ships Event**

In addition to the programmed work discussed above a significant amount of resource went into the planning stage leading up to the Tall Ships Event to ensure that it ran as smoothly as possible. Prior to the event, liaison took place with partner agencies including the HSE, Police, Defra and other local authorities to ensure that we were prepared to respond to any matters of evident concern.

Officers carried out advisory visits to nearly 100 existing traders to discuss the potential impact on their businesses and how potential problems could be overcome.

Throughout the 4 day event EHOs and support staff worked a rota system so that we always had experienced personnel on site to tackle problems as they arose. This approach seemed to work well throughout the event. In particular contact with the companies operating the catering operations on site proved invaluable, establishing working links including the presence of a gas safety engineer on site for the whole weekend.

With over 100 separate food stalls on site, gas safety was a major issue, while ensuring good food hygiene practices was also vitally important. An event like this could be ruined by a food poisoning or safety incident, so a constant presence on site was considered essential.

In total 112 inspections and 16 revisits were undertaken on the Tall Ships site and surrounding Marina area, with a further 20 inspections undertaken at the Headland Carnival, which was also taking place. As the event went without any major hitches thankfully no formal enforcement action was necessary.

## **6.2.4 Food Sampling Programme**

The food sampling programme for 2010/11 has been completed. The microbiological results are as follows:

## Results for Microbiological Sampling Programme 2010/11

<b><u>Bacteriological Surveys</u></b>	<b>Total no. of samples</b>	<b>Number of Samples</b>	
		<b>Satisfactory</b>	<b>Unsatisfactory</b>
<u>Take Away Premises Survey</u> Premises visited:	11		
Rice	15	14	1
Cloths	9	5	4
<u>Follow Up Butchers Survey</u> Premises visited:	3		
Meat	5	5	0
Swabs	4	3	1
Cloths	1	0	1
<u>Imported Honey Survey</u>	6	6	0
<u>Local Mobile Survey</u> Premises visited:	7		
Food	13	13	0
Swabs	7	3	4
<u>LACORS / HPA Pennington Study</u> Premises visited:	7		
Swabs	18	9	9 *
Cloths	3	1	2
<u>Local Ice Cream Survey</u> Premises visited:	6		
Ice cream	7	7	0
Swabs	6	2	4*
<u>Salmonella in Fresh Herbs</u>	30	30	0
<u>Local Survey of Sandwich Shops</u> Premises visited:	19		
Sandwich fillings	39	34	5*
Swabs	40	33	7*
Cloths	6	0	6*
LACORS / HPA Survey of Listeria in RTE Food	18	18	0
<b>Total</b>	<b>227</b>	<b>183</b>	<b>44</b>

\* Re-sampled and found to be satisfactory.

The results of the food sampled as part of this years sampling programme were generally satisfactory, however those of the environmental samples were disappointing.

Two surveys, the takeaway food and butchers survey were continued on from last year. A significant number of wiping cloths taken from takeaway premises were found to be unsatisfactory. This trend has been mirrored across the region. Advice has been given and a guidance note is currently being prepared by the Health Protection Agency.

The Pennington study, local ice-cream survey and sandwich shop survey produced similar poor results relating to cloths and swabs. Advice was again given relating to cloth use and reminders given relating to cleaning practices. Sandwich fillings were sampled in the sandwich shop survey. Investigations into the poor results indicated that the most likely cause was due to mayonnaise not being refrigerated or poor food handling practices.

The composition and labelling results are shown below:

### Results for Food Standards Sampling Programme 2010/11:

Nature of Sample	Reason for Sampling	Satisfactory	Unsatisfactory
Cooked Meats	Added Water	6	
	Labelling	6	
Tinned Meals	Fat / Total sugars	10	2
	Labelling	12	
*Honey (Formal)	Moisture/Sugars / Labelling	6	
*Imported Chicken	Added Water / Salt	4	
*Crab Meat (Formal)	Cadmium content	2	
Local Ham Sandwiches	Reformed Meats	19	
Local Pork Sausage	Meat Content	6	
Tinned Fruit	Mercury, Lead, Cadmium	11	1
	Labelling	12	
Breakfast Cereal Bars	Sodium content	12	
	Labelling	12	
Gluten Free Products	Gluten Products	12	
	Labelling	11	1
Sweet Mincemeat	Fats / Sugars	4	2
	Labelling	6	
Takeaway Meals	Meat Species	8	2
Ready Meals	Fish Content	4	2
	Labelling	6	
Bottled Mineral Water	Declared Minerals /Nitrate / Nitrite Content	9	3
Totals:	191	178	13

\* The Authority participated in a FSA funded survey, in conjunction with other North East Authorities, to sample food originating from outside the EU (Honey, Chicken and Crab Meat were sampled).

Overall there were relatively few food standards samples which failed to meet statutory requirements. Locally produced takeaway meals were sampled for meat species and two lamb dishes were found to contain beef. Advice was given to the businesses concerned.

Other follow up work carried out in respect of failures to comply with composition and Food Labelling Regulations 1996 involved resampling products or referral to the Home Authority for further investigation.

Routine sampling of animal feeding stuffs has been given a low priority due to the lack of local manufacturers and packers. We were unable to complete the feeding stuffs sampling programme due to other service demands and the temporary absence of a member of staff during the year.

#### **6.2.5 Food Inspection**

The service undertook no formal seizure of unfit food in the year.

#### **6.2.6 Promotional Work**

Food safety promotion whether by advice, education, training or other means is a key part of the food team's strategy in changing behaviour and increasing compliance in businesses.

In February 2006 the Food Standards Agency (FSA) introduced Safer Food Better Business (SFBB) aimed at assisting smaller catering businesses to introduce a documented food safety management system. Since this time our resources have been directed towards continuing to assist businesses to fully implement a documented food safety management system.

The team has continued to offer tailored advice and information on request with 35 advisory visits to businesses being carried out during the year.

A variety of information leaflets, some in foreign languages, are available. Circular letters are issued as required to inform food business operators of food safety matters relevant to their operations e.g. changes in legislation, food alerts.

#### **6.2.7 Food Hygiene Award Scheme**

On 1 April 2007 the Authority in conjunction with the other Tees Valley authorities launched the Tees Valley Food Hygiene Award scheme.

In accordance with the 'Food Law Code of Practice', following every 'primary' inspection a risk rating is undertaken which is used to determine the frequency of inspection for the business. Of the seven main categories used to determine the overall rating score the following three factors are used to create a star rating:

1. Food Hygiene and Safety
2. Structure and Cleaning
3. Management and Control

These ratings are the only ones that are directly controllable by the business and are the reason they have been used to obtain the food businesses star rating.

The total score from the 3 categories is then used to derive the star rating ranging from 0 (major improvements needed) through to 5 stars (excellent).

The table below shows the results of the star ratings awarded to businesses at the start of the scheme on 1 April 2007, as compared with after 12, 24, 36 and 48 months:

No. of Stars	Number of Premises (1/4/07)	%	Number of Premises (1/4/08)	%	Number of Premises (1/4/09)	%	Number of Premises (1/4/10)	%	Number of Premises (1/4/11)	%
<b>5</b>	24/759	<b>3%</b>	85/762	<b>11.1%</b>	163/721	<b>22.6%</b>	237/709	<b>33.4%</b>	289/718	<b>40.2%</b>
<b>4</b>	155/759	<b>20%</b>	217/762	<b>28.5%</b>	233/721	<b>32.3%</b>	205/709	<b>28.9%</b>	200/718	<b>27.9%</b>
<b>3</b>	226/759	<b>30%</b>	294/762	<b>38.6%</b>	237/721	<b>32.9%</b>	195/709	<b>27.5%</b>	152/718	<b>21.2%</b>
<b>2</b>	262/759	<b>35%</b>	137/762	<b>18.0%</b>	65/721	<b>9%</b>	60/709	<b>8.5%</b>	62/718	<b>8.6%</b>
<b>1</b>	60/759	<b>8%</b>	26/762	<b>3.4%</b>	17/721	<b>2.4%</b>	12/709	<b>1.7%</b>	13/718	<b>1.8%</b>
<b>0</b>	32/759	<b>4%</b>	3/762	<b>0.4%</b>	6/721	<b>0.8%</b>	0/709	<b>0%</b>	2/718	<b>0.3%</b>

Whilst the number of premises awarded 3 stars and above is similar to the previous year (89.3% compared to 89.8% in 2009 -10) it is pleasing to note that there has been a significant increase in the proportion of 5 star ratings (a 6.8% increase from 2009 -10) .

The service is committed to focussing its resources on carrying out interventions at those businesses which are deemed not to be 'broadly compliant' and has written to businesses that have been awarded 2 stars or less offering advice and support. Where necessary enforcement action will be taken to secure compliance.

In November 2010, The Food Standards Agency launched a national Food Hygiene Rating Scheme (FHRS) however in spite of incentives being offered there were very few early adopters of the scheme (only 29 local authority partners had signed up meaning that the results of only 15,013 of the 406,398 inspected food premises in the UK were being displayed).

At the same time 124 councils (including Hartlepool) were displaying ratings for 149,067 outlets on the rival commercial website [www.scoresonthedoors.co.uk](http://www.scoresonthedoors.co.uk) In addition rather than adopting the FHRS scheme a further 17 London boroughs had opted to keep their own website. Both use a five-star rating system, which the FSA has dropped claiming it is misunderstood by the public.

By 16 May, 90 councils in England had signed up to the FHRS (only three of which are in the North East or London), this compares with 126 councils on the Scores on the Doors rating system. An additional 34 councils were also running their own scheme independently.

One of the main reasons cited as to why councils have chosen not to migrate to the FHRS scheme is that under the FHRS system, food premises will receive a higher rating than they did under the old system. This could mean that some places given three stars will receive a rating of four under the new system without improving their performance.

Also under the new FHRS system there is a requirement to offer re-inspection for free, which has a manpower implication. There have also been concerns raised about the lack of public awareness of the FHRS scheme and the opinion that the website is not as user friendly as the Scores on the Doors website which has been running for several years.

Despite numerous discussions having taken place between the FSA and representatives of the Scores On the Doors User Group no agreement has been reached. The FSA is currently undertaking a review of how food safety regulations are enforced in the UK and has announced that it is currently pursuing a programme of work to introduce legislation which will require local authorities to adopt the FHRS scheme.

Whilst we support the idea of a national scheme, as our current scheme is working very successfully and there would be resource implications to change, we have no plans to migrate to the FHRS at this time.

#### **6.2.8 Complaints**

During the year the service dealt with 8 complaints relating to the condition of food premises and/or food handling practice. In addition, 7 complaints were received regarding unfit or out of condition food or extraneous matter and 5 complaints concerning the composition or labelling of food items. One complaint was received regarding animal feeding stuffs.

Investigations into the above were undertaken within our target of 2 working days.

#### **6.2.9 Food Poisoning**

The service received 148 notifications of food borne illness during the year, this figure was significantly higher than the previous year (100 notifications were received during 2010/11). The majority (123) of these notifications related to cases of *Campylobacter*; all of which appeared to be sporadic (isolated) cases. *Campylobacter* is the most common bacterial cause of food poisoning in England and Wales. National data shows that while the incidence of *Salmonella* infections has steadily declined since the late 1990s those caused by *Campylobacter* are showing an upward trend.

### **6.2.10 Food Safety Incidents**

The Service received 51 food alerts, product withdrawal and recall notices from the Food Standards Agency during the year. All food alerts requiring action were dealt with expeditiously. No food incidents were identified by the Authority that required notification to the Food Standards Agency.

### **6.2.11 Enforcement**

During 2010/11 no Hygiene Emergency Prohibition Notices were served on businesses however an offer of a voluntary closure was accepted and officers worked with the business to ensure that food safety was not compromised.

A total of 6 Hygiene Improvement Notices were served; these were issued in respect of two businesses to ensure compliance with food safety legislation. No prosecutions or Simple Cautions were undertaken.

### **6.2.12 Improvement Proposals/Challenges 2010/11**

The following areas for improvement/challenges were identified in the 2010/11 Food Service Plan.

1. We aim to visit all established food businesses which may be affected by the Tall Ships event beforehand to offer advice. We also aim to inspect all food vendors trading as part of the Tall Ships Event and Headland Carnival.
2. Resources challenging. The section lost 3 posts due to budget pressures during 2008/09. Although none of these posts directly enforced food legislation their workload has had to be distributed to the remaining workforce. Allocating targets for 2010/11 with existing resources will be extremely challenging with the additional workload associated with the Tall Ships Event.

In total officers carried out advisory visits to nearly 100 existing traders prior to the Tall Ships Event and a further 112 inspections and 16 revisits during it, with a further 20 inspections being undertaken at the Headland Carnival, which was taking place at the same time. This work placed a significant demand on resources.

3. Review the Food Enforcement Policy and produce a summary.

The Food Enforcement Policy was revised and has been incorporated into the Public Protection Enforcement Policy, which is scheduled to be approved by the Adult & Public Health Services Portfolio Holder in June 2011.



## **7. Key Areas for Improvement & Challenges 2011/12**

In addition to committing the service to specific operational activities such as performance of the inspection programme, the service planning process assists in highlighting areas where improvement is desirable. Detailed below are specifically identified key areas for improvement that are to be progressed during 2011/12.

1. Resources remain challenging. The Public Protection section lost 21% of its overall budget in 2010/11 as part of a Service Delivery Option review and efficiency savings and the service is anticipating further cuts (expected to be in the region of 10%) during 2011/12.

Although so far we have not lost any additional posts which directly enforce food legislation due to the implications of previous losses of posts within the section we are having to distribute the workload amongst the remaining workforce to ensure that we make best use of our resources. We anticipate further pressures on the budget in subsequent years.

Whilst officers attained the 100% target to complete all food hygiene inspections it was not possible to complete all planned food standards and feeding stuffs inspections. The outstanding inspections will be added to the inspection programme for 2011/12.

2. We will review and update our premises database to ensure it is accurate and reliable so that we can target our resources effectively.

# CABINET REPORT

15 August 2011



**Report of:** Director of Child and Adult Services

**Subject:** YOUTH JUSTICE STRATEGIC PLAN 2011-12

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## SUMMARY

### 1. PURPOSE OF REPORT

To present the Youth Justice Strategic Plan to Cabinet for approval in accordance with the Council's Budget and Policy Framework.

### 2. SUMMARY OF CONTENTS

The report details the legislative framework which requires the production of a Youth Justice Strategic Plan. A final draft Plan is presented at **Appendix 1** for approval by Cabinet. This Plan meets the requirements of the Youth Justice Board and outlines the service priorities for 2011/12 which build on those agreed in 2010/11.

### 3. RELEVANCE TO CABINET

The Youth Justice Strategic Plan is part of the Budget and Policy Framework of the Council and therefore requires approval from Cabinet and Council.

### 4. TYPE OF DECISION

Non key

### 5. DECISION MAKING ROUTE

Cabinet and Council.

### 6. DECISION(S) REQUIRED

To approve the Youth Justice Strategic Plan 2011-12.

**Report of:** Director of Child and Adult Services

**Subject:** YOUTH JUSTICE STRATEGIC PLAN 2011-12

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**1. PURPOSE OF REPORT**

- 1.1 To present the Youth Justice Strategic Plan to Cabinet for approval in accordance with the Council's Budget and Policy Framework.

**2. BACKGROUND**

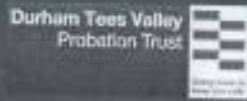
- 2.1 The national Youth Justice Performance Improvement Framework includes a range of elements that work together to improve practice and performance. As part of the framework and as a statutory responsibility under the Crime and Disorder Act 1998, all Youth Offending Services are required to prepare a Youth Justice Strategic Plan and submit this to the Youth Justice Board.
- 2.2 Whilst the Youth Offending Service (YOS) partnership can develop their own structure and content of the Youth Justice Plan, the Plan should address four key areas to reflect the position for the service going forward.
- **Resourcing and value for money** - The Plan ensures sufficient deployment of resources to deliver effective youth justice services to prevent offending and reoffending.
  - **Structure and Governance** - The Plan sets out the structures and governance necessary to ensure the effective delivery of local youth justice services. The leadership composition and role of the multi agency YOS Management Board are critical to this.
  - **Partnership Arrangements** – The plan demonstrates that effective partnership arrangements are in place between the Youth Offending Service, statutory partners and other local partners that have a stake in delivering youth justice services and that these arrangements generate effective outcomes for children and young people who offend or are at risk of offending.
  - **Risks to Future Delivery** – The Plan demonstrates that the Youth Offending Service has the capacity and capability to deliver effective youth justice services; it identifies risks to future delivery and the Youth Offending Service partnership's plans to address these risks.

The Hartlepool Youth Justice Strategic Plan details the service priorities for 2011-2012 and achievements from 2010-2011.

- 2.3 The final draft of the Hartlepool Youth Offending Service Youth Justice Strategic Plan 2011-12 is attached at **Appendix 1**. This plan has been developed in consultation with partners and stakeholders, including, but not limited to, children and young people in the Youth Justice system, their families, the police, victims of crime, the judiciary, voluntary sector providers and community safety. The draft plan was agreed by the Youth Offending Service Strategic Management Board on 16 May 2011 and considered by Children’s Services Scrutiny Forum on 19 July 2011.
- 2.5 As a result of the consultation, the final draft of the plan has been prepared for approval by Cabinet prior to being considered by a full Council meeting on 15<sup>th</sup> September 2011.

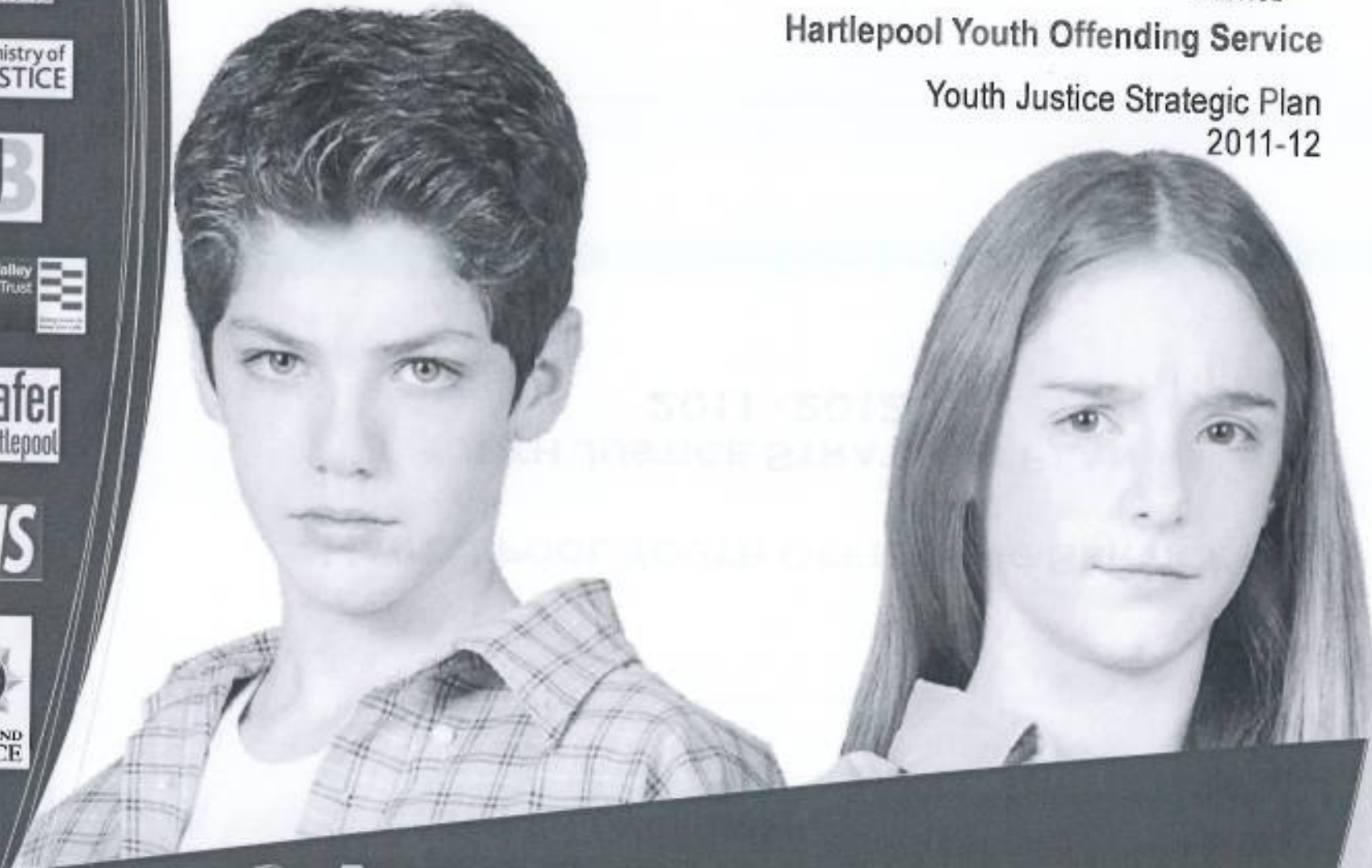
### **3. RECOMMENDATIONS**

- 3.1 That Cabinet approve the Youth Justice Strategic Plan 2011-12 and recommend the Plan to Council for approval.



# Hartlepool Youth Offending Service

## Youth Justice Strategic Plan 2011-12



To prevent offending and reoffending by children and young people in Hartlepool





**HARTLEPOOL YOUTH OFFENDING SERVICE**

**YOUTH JUSTICE STRATEGIC PLAN  
2011 - 2012**

## Forward



Welcome to the 2011-12 Hartlepool Youth Offending Service's Youth Justice Strategic Plan.

In Hartlepool we have set our ambition and aspirations for the future in our Community Strategy 2008-20:

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

The Youth Offending Service (YOS) has a key role in contributing to this by delivering high quality, effective and safe youth justice services.

The good news is that 2010-11 has proved to be a very positive year with:

- Significant reductions in the number of young people entering the youth justice system for the first time. This is a consistent trend over a number of years.
- Overall crime in Hartlepool is falling year on year and is now 37% lower than 6 years ago and 4% lower than last year. In particular the numbers of young people dealt with in the criminal justice system is 21.5% lower than 2009-10.
- Limited use of custodial sentences for young people. Only 10 young people in Hartlepool received some form of custodial sentence. Although slightly higher than last year (six) figures are 33% lower than 2006/7 & 2007/8.
- Improved victim contact and restorative justice services with victims expressing high levels of satisfaction with their treatment.
- The YOS being moved into improved office accommodation where staff are working alongside Hartlepool's new Integrated Youth

Support Services (IYSS) thereby further improving the service to young people.

- The most recent HMI Inspection report on Hartlepool YOS commented that the Service was showing evidence of continuous improvement; a trend we intend to build upon during the forthcoming years.

In short the YOS is demonstrating its direct contribution to both improving outcomes for young people and making local communities safer and stronger.

Whilst recognising the tough financial climate ahead, it is essential that we continue to push forward with improvements to the Service in 2011-12.

This plan defines priorities for the YOS in the coming year and highlights areas for improvement.

As always, the Partnership Board is extremely grateful for the skill and dedication of our employees in supporting young people who offend or are at risk of becoming involved in offending in Hartlepool.

On behalf of the YOS Management Board I am pleased to endorse the Youth Justice Strategic Plan for 2011-12.



**Nicola Bailey**  
Chair - Youth Offending Service Management Board.  
Director, Child and Adult Services

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## Introduction

**Strategic planning** is the process by which we define our strategy, or direction, and make decisions on allocating resources to pursue this strategy. The Plan gives the YOS clarity about what it actually wants to achieve and how to go about achieving it.

The Youth Justice System exists to deal with young people who commit crime and help those young people who are in danger of getting involved in it.

Hartlepool Youth Offending Service (YOS) was established in April 2000 following the introduction of the Crime and Disorder Act 1998. It is a multi-agency service and is made up of representatives from the Council's Child and Adult Services, Police, Probation, Health and Education directed by the YOS Head of Service. Because each agency works as part of one multi-agency team they are better able to tackle young offenders.

Since its inception Hartlepool YOS has been overseen (like all other YOSs in the Country) and had its performance monitored by the Youth Justice Board (YJB).

This year, however, the new coalition government has announced its intention to introduce legislation that will abolish the YJB as part of its commitment to radically increasing transparency, accountability and efficiency. Under the proposals the YJB will cease to function as a non-departmental public body and the leadership of youth justice and functions of the YJB will be transferred into the Ministry of Justice. In addition Local Area Agreements will be discontinued, as will National Performance Indicators.

The YJB will continue to carry out its functions while the transitional arrangements are being worked through, although it is likely that the YJB will be abolished during the period covered by this Plan.

Hartlepool YOS will continue to measure its performance in those areas which it considers to be critical to its success, namely:

1. Assessment, planning, interventions and supervision (APIS)
2. Resourcing and workforce development
3. Access to universal and specialist services
4. Reductions in first-time entrants to the youth justice system
5. Reducing reoffending
6. Use of custody
7. Risk of serious harm
8. Safeguarding
9. Victim and public confidence

Evidence that offending is being effectively tackled will be demonstrated by:

- evidence of fewer young people being drawn into the youth justice system
- reductions in overall re-offending, and also in the frequency and severity of re-offending
- providing a focus for improving the coordination of services on key issues e.g. resettlement and the provision of suitable accommodation e.g. accessing and sustaining Education, Training and Employment.

Hartlepool YOS will continue to work with its funding partners and other agencies which contribute to the work of the YOS including IYSS (Integrated Youth Support Service an amalgamation of Connexions

and the Youth Service), NACRO, local Drug Action Team (DAT), young peoples' drug and alcohol team (HYPED) and the voluntary sector.

The Youth Justice Services are a people centred business which directly impacts upon the lives of young people, parents, the community and our staff. In Hartlepool we pride ourselves in having a clear set of values which underpin our service delivery and drive all activities and behaviour in the way we work with young people their parents and families as well as our dealings with colleagues and other organisations. We will continue to work with other agencies to deliver high quality, effective and safe youth justice services and thereby achieve our vision to:

***"Prevent offending & re-offending by Children & Young People in Hartlepool"***

Hartlepool YOS is a statutory partnership which includes, but also extends beyond, the direct delivery of youth justice services. In order to deliver youth justice outcomes it must be able to function effectively in both of the two key sectors within which it operates, namely:

- ◆ criminal justice services, &
- ◆ services for children and young people.

The YOS contributes both to improving community safety and to safeguarding and promoting the welfare of children and in particular protecting them from significant harm. Working together to Safeguard Children (guidance on how organisations and individuals should work together to safeguard and promote the welfare of children and young people in accordance with the Children Act 1989 and the Children Act 2004) highlights the need for YOSs to work jointly with other agencies and professionals to ensure that young people are protected from harm and to ensure their needs are met.

Many of the young people involved with the YOS are the most vulnerable children and are at greatest risk of social exclusion. The YOS multi-agency approach to meeting the needs of young people ensures that it plays a significant role in meeting the safeguarding needs of these young people.

In order to generate effective outcomes for children and young people who offend or are at risk of offending the YOS has in place effective partnership arrangements and is an important delivery partner for the Safer Hartlepool Partnership as well as a relevant partner in the Children's Partnership. This close relationship is embedded in Hartlepool's 'Crime, Disorder, and Drugs Strategy' and 'Children and Young People's Plans'.

#### **Safer Hartlepool Partnership**

The Safer Hartlepool Partnership (Hartlepool's Community Safety Partnership) is the statutory body charged with coordinating the activities of its members (including the YOS) and aims to be at the forefront of helping to reduce crime and the fear of crime across the town. It does this by funding key community projects, building reassurance within the community, promoting community safety, and ridding the streets of criminal activity. Members include: Hartlepool Borough Council, Cleveland Police, Cleveland Fire Brigade, Housing Hartlepool, NHS Hartlepool, YOS, Drug Strategy Team, Anti-social Behaviour Unit, Durham Tees Valley Probation Trust, Harbour and several other community and voluntary groups.

The Partnership has published its three-year Crime, Disorder, and Drugs Strategy (2011-2013) which sets out its objectives for 2011-13, namely;

1. **Reduce crime and repeat victimisation.**
2. **Reduce the harm caused by drug and alcohol misuse.**
3. **Create confident, cohesive and safe communities.**
4. **Reduce offending and reoffending.**

Each year since 2007, the Safer Hartlepool Partnership has conducted an annual assessment during December, to enable it to establish annual priorities for action in the following financial year.

The annual priorities for 2011/12 are:

- ✓ Acquisitive crime – specifically domestic burglary and theft
- ✓ Violent crime – including domestic violence and abuse
- ✓ Alcohol treatment, delivery of alcohol strategy and drug dealing and supply
- ✓ Anti-social behaviour – including links to private rented properties and alcohol related youth ASB
- ✓ Criminal damage – specifically damage to dwellings
- ✓ Confidence and cohesion
- ✓ Prevent and reduce offending, re-offending and the risk of offending

Further information about the Safer Hartlepool Partnership can be obtained at <http://www.saferhartlepool.co.uk>

#### **Children and Young People's Plan for 2009 – 2020**

The Children and Young People's Plan for 2009 – 2020 is a document which has been written on behalf of Hartlepool's Children's Partnership and sets out the vision and the direction of travel for commissioning and service improvements until 2020. The Children's Partnership is the main body which brings together organisations (including the YOS) providing services for children, young people and parents and carers. Other themed partnerships address different issues that impact on a child's life and contribute to this plan, these are highlighted in Hartlepool's new Community Strategy

The Children and Young People's Plan is structured around five key priorities:

1. Tackling Inequalities;
2. Narrowing the Gap;
3. Eradicating Child Poverty;



4. Living Safely;
5. Promoting Emotional Well-being.

You can download the Children and Young Peoples Plan at;

[http://www.hartlepool.gov.uk/download/4952/  
children\\_and\\_young\\_peoples\\_plan](http://www.hartlepool.gov.uk/download/4952/children_and_young_peoples_plan)

The YOS Board provides a link between the Children's Partnership and the Safer Hartlepool Partnership ensuring the integration of youth justice services and other children's services.

## Needs Analysis

### Area

The Borough of Hartlepool is situated on the North East coast of England covering an administrative area of 94 square kilometers (9.386 hectares) with a population of 91,900 (population density of 9.7 people per hectare). Approximately 25% of the population



are children and young people (under 18) and 10.6% (9607) are aged 10 to17, the YOS client group. Originally two towns, the old town known as the Headland and the more recent West Hartlepool amalgamated in 1967 and now consist of 17 wards covering approximately 42100 dwellings (mid 2009). The town has a wide catchment area with over a million people living within 30 minutes driving time of the Town Centre.

Unemployment in Hartlepool was 7.4% in January 2011 compared to the Tees Valley average at 6.3%. This is a slight increase on 2010 (7.3%) however in common with other areas unemployment rates remain high and Hartlepool has levels at twice the national average of 3.7%. In the Tees Valley only Middlesbrough has a higher level at 7.6%. 31.1% of the unemployed are aged under 25 and 9% are under 20. (Source: National Statistics NOMIS)

The population of Hartlepool is predominantly white British (98.8%), 51.5% are female and 1.2% are from ethnic minority groups. Migration from the east European countries of the newly expanded European Community is a fairly recent phenomenon for which there is not yet definitive data. More detailed data will be available following the 2011 Census.

There are five secondary schools, thirty one primary schools, one nursery school, one pupil referral unit and two special schools.

The YOS boundaries are within those of the Cleveland Police and Durham Tees Valley Probation Trust area. NHS Hartlepool Primary Care and North Tees and Hartlepool NHS Foundation Trusts provide health services in the area.

Organisation structures are in place to support partnership working across the Tees Valley (Darlington, Hartlepool, Stockton & South Tees YOSs) and a variety of natural links have been developed with other organisations such as 'DISC' and 'The Children's Society'.

Hartlepool has a number of notable demographic characteristics when compared to the national average, they include:

- above average proportion of people with a health problem.
- above average proportion of single parent households.
- above average levels of households without access to a car.
- above average levels of teenage pregnancy (15 to 17 years)
- below average owner-occupiers but above average households renting from local authorities or housing associations.
- a below average proportion of ethnic minorities.

In the Governments Index of Multiple Deprivation (IMD) published in March 2011 of 326 English districts Hartlepool is ranked 24<sup>th</sup> most deprived with Middlesbrough being the only other Tees Valley District ranked as more deprived (8<sup>th</sup>).

### Local Youth Crime – Key Characteristics

In 2010/11, Hartlepool YOS dealt with a total of 236 young offenders who committed 492 offences. 193 were male and 43 female. This represents a significant 21.5% reduction in offenders and a 22.1% reduction in offences committed, compared with the previous year. This is the continuation of the trend over recent years.

The table below illustrates the type and number of offences committed by these young people and the trend over the last six years.

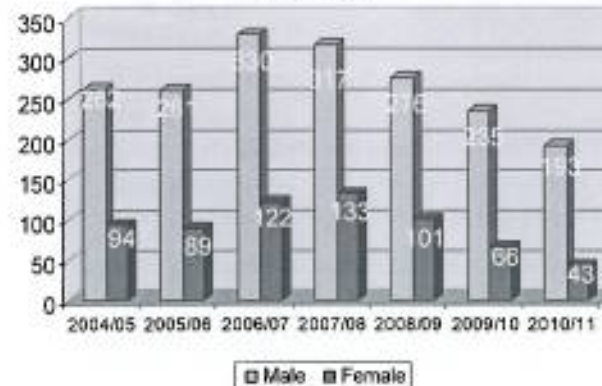
Grouping	Offence	2005/6	2006/7	2007/8	2008/9	2009/10	2010/11
BREACH	Breach of Bail	14	14	11	8	0	6
	Breach of Conditional Discharge	2	5	6	6	3	8
	Breach of Statutory Order	8	45	33	28	38	15
VEHICLE	Death or Injury By Reckless Driving	0	0	0	0	0	0
	Motoring Offences	136	87	74	51	73	21
THEFT & BURGLARY	Theft & Handling	142	215	245	200	140	108
	Vehicle Theft	35	24	30	12	21	12
	Domestic Burglary	22	47	36	22	14	11
	Non Domestic Burglary	11	16	14	25	8	12
	Fraud & Forgery	5	13	2	1	5	4
	Robbery	3	4	0	6	4	1
VIOLENCE	Racially Aggravated Offences	3	8	2	0	3	4
	Sexual Offences	2	2	3	5	1	3
	Violence Against Person	124	187	146	117	128	76
OTHER	Arson	4	9	8	6	1	3
	Criminal Damage	90	140	121	109	103	78
	Drugs Offences	16	13	9	23	22	16
	Other	14	19	18	9	11	25
	Public Order	51	104	101	71	57	89
	<b>TOTAL</b>	<b>682</b>	<b>952</b>	<b>898</b>	<b>899</b>	<b>632</b>	<b>492</b>

In January 2010 Hartlepool introduced a 'Triage' model at the point of arrest for young people who are seen and assessed by a YOS worker (Youth Inclusion and Custody Coordinator) linked to the Police Custody Suite. Young people are offered support and guidance using a multi agency approach and those that have committed less serious offences and are unlikely to reoffend are diverted out of the Youth Justice System and receive a restorative disposal. Hartlepool initially implemented the programme as a pilot for Cleveland and is currently the only YOS delivering Triage within the Tees Valley.

Numbers of young people entering the programme have continued to increase as the corresponding number of first time entrants (FTE's) to the criminal justice system has reduced (see figure - back cover). Robust procedures are in place, ensuring the young people selected to enter the programme are dealt with swiftly within the custody suite.

Clearly the YOS has been successful in reducing the numbers of young people being dealt with in the youth justice system; however those remaining require more intensive work and close supervision if we are to continue to reduce offending and reoffending.

Young people offending in Hartlepool  
2004-2011



## Resourcing and value for money

### Resources

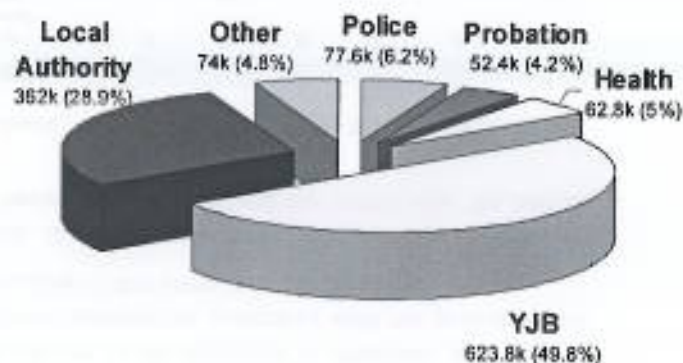
Adequate resourcing and the appropriate use of resources underpin the ability of the YOS to deliver high quality services.

The YOS Budget for 2011/12 has seen a drop in both local authority and YJB funding and as a consequence is 14% less than 2010-11 at £1.2 million. The budget is made up of a central grant from the Youth Justice Board and contributions from statutory partners (Health, Local Authority, Police and Probation). Hartlepool Borough Council is the major funding partner.

This year, with the likelihood that the YJB will be disbanded, the grant allocation from the YJB and the Local Authority has been merged with an overall £200,000 reduction.

YOS Partnership funding settlements are anticipated to continue to be challenging for the foreseeable future given the current political and economic climate.

### Youth Offending Service Funding 2011-12



Hartlepool YOS intends to work with its partners to continue to drive efficiency within the Service through the delivery of high quality, lean and efficient practices which make maximum use of resources.

Over the last twelve months the YOS has seen an overall reduction in staff numbers but has been in the enviable position of being able to recruit highly qualified individuals into key posts. The YOS is now in the position of having a high quality team which works to a professional case management model.

Hartlepool YOS currently believes that it has sufficient resources and staff, with the appropriate skills and expertise, to deliver youth justice services in line with National Standards and is committed to having in place a workforce strategy that ensures:

- the needs of YOS staff are met, and their strengths recognised
- the YOS retains its integrity as a successful multi-agency working model and is not diluted in the process of establishing broader multi-agency structures
- the crucial role of the YOS as the balancing point between the children's and criminal justice agenda is asserted
- managers can attract and retain a strong and suitable workforce
- YOS staff can access the development training and opportunities.

The YOS Board has supported workforce development with sufficient resources to ensure staff and volunteers have all the necessary support, training and advice to deliver effective youth justice services and as individuals improve their skills and progress in their chosen careers.

### Value for Money (VFM)

Hartlepool YOS VFM Strategy is based around three areas:

- Economy** - The price paid for what goes into providing and delivering a service
- Efficiency** - A measure of productivity, alignment between funding streams to deliver against outcome areas
- Effectiveness** - A measure of the impact achieved that can be either quantitative or qualitative

VFM is therefore considered to be delivered when there is an optimum balance between economy, efficiency and effectiveness.

Hartlepool YOS is committed to delivering Best Value in the provision of its services. Best Value means continual improvement in terms of the economy, efficiency and effectiveness of service delivery.



Under Best Value we need to demonstrate that YOS services:

- meet the needs of our clients and the local community;
- are being provided to the level and quality desired by the community;
- are sustainable within allocated budgets;
- are consistent with available resources;
- are equal to or better than other comparable YOSs;
- are capable of securing continuous improvement.

Hartlepool YOS has a track record of entering into partnership in order to draw on the skills and expertise of partner organisations. This approach enables the maximum impact to be made from scarce resources.

Hartlepool YOS intends to work with its partners to continue to drive efficiency within the Service through the delivery of high quality, lean and efficient practices which make maximum use of resources.

#### Commissioning

The effective and efficient use of resources is also dependent on effective commissioning arrangements. Effective commissioning means ensuring the right services and the right people are in the right place at the right time for children and young people.

Hartlepool YOS is working through the Child and Adult Services commissioning processes to ensure this takes place.

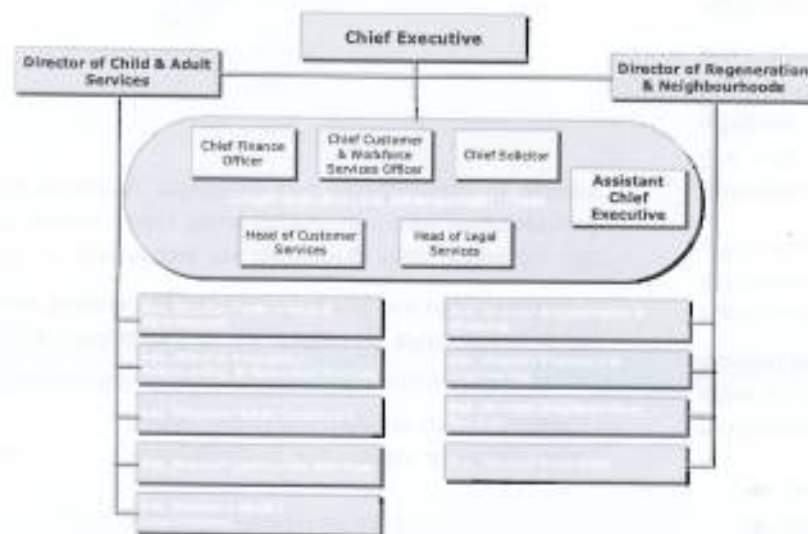
The YOS will review existing commissioned services to ensure that commissioned services provide best value for money.

## Structure and Governance

### Governance

The YOS is located within the Prevention, Safeguarding and Specialist Services Division of the Child and Adult Services Department. The Management Board is chaired by the Director of Child and Adult Services and has representatives from Child and Adult Services, Prevention, Safeguarding and Specialist Services, Police, Probation, Health, Courts and Housing.

### Hartlepool Borough Council Structure



Effective integrated strategic partnership working and clear oversight by the Management Board are critical to the success and effective delivery of youth justice services in Hartlepool.

The leadership, composition and role of the Management Board are crucial. The board is directly responsible for:

1. delivery of the principal aim of preventing offending and re-offending and accountability for performance against the youth justice national indicators
2. strategic and performance oversight
3. justice services for children and young people
4. accountability and active youth justice representation.

The Management Board is clear about the priority areas for improvement, and monitors the delivery of the Youth Justice Strategic Plan, performance and prevention work. It is reliably attended and receives comprehensive performance reports.

Members of the Board are knowledgeable, participate well in discussions and also participate in many other related boards, which contribute to effective partnership working at a strategic level. Board meetings are well structured and members are held accountable.

The Youth Offending Head of Service and nominated officers of the YOS are members of a number of groups where strategies need to take into account young people who offend for example Criminal Justice Intervention Managers, Anti-social Behaviour, Family Intervention Project, Parenting Strategy, Substance Misuse, Pupil Referral Unit Management Board, Social Inclusion Strategy Group, Children's Partnership Infrastructure Group, Multi Agency Public Protection Arrangements (MAPP), Strategic Management Board, Running away, missing from home (MFH) and Care Strategy, Local Children's Safeguarding Board and the Cleveland Criminal Justice Board. The YOS is represented on the Children's Partnership, Local Safeguarding Children Board and the Crime and Disorder Reduction Partnership.

The membership of Hartlepool YOS Board is as follows:



### YOS Management Board

Nicola Bailey (Chair)	Director – Child & Adult Services
Sally Robinson (Deputy Chair)	Ass. Director - Prevention, Safeguarding & Specialist Services
Khalid Azam	Ass. Director – Children’s Services PCT
June Fawcett	Senior Clinical Nurse – Children & Young People
Lucia Saiger	Director of Offender Services - Durham Tees Valley Probation Trust
Jean Bell	Principal Legal Advisor - Hartlepool Magistrates Court
Lynda Igoe	Principal Housing Officer
Lynne Beeston	Chief Inspector - Neighbourhoods, Cleveland Police
Sally Forth	Community Safety Manager - Safer Hartlepool Partnership and Community Safety Team

#### Structure

The YOS is currently structured into 2 main areas; **‘Pre-court’** and **‘Restorative Justice and Post-court’**. The Pre-court and Restorative Justice Team works with those children and young people requiring support to prevent them becoming involved in crime and anti-social

behaviour and as a consequence entering the criminal justice system. The team also work with those young people who have come to the attention of the Police and have been the subject of a triage intervention, reprimand or final warning. Each worker within the team is attached to a designated secondary school as part of the ‘Team Around the School’ arrangements.

The promotion and introduction of Restorative Justice procedures is a high priority for both YOS Teams. The increased use of the ‘Triage’ early intervention system in partnership with Cleveland Police and the effective use of reparation are just two areas in continual development.

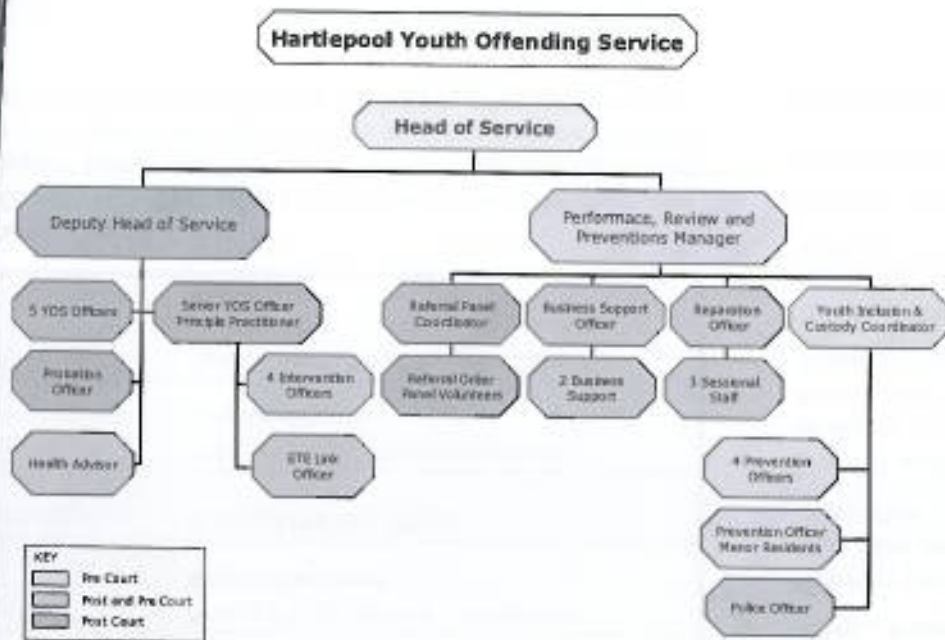
During 2010-11 with the aid of funding from YCAP (Youth Crime Action Plan) the YOS delivered 690 individual sessions of reparation activity to 206 young people, 150 of those young people were given timetables which included a session, or a combination of sessions on either a Friday evening, or on a Saturday or Sunday.

The Post Court work is undertaken with young people aged 10 – 17 who have entered the criminal justice system and are subject to a court order.

The YOS works closely with the Police, Courts and a range of agencies including social care, health, education, housing and the substance misuse team to deliver services to young people and their families to reduce the risk factors associated with their offending.

The Youth Offending Service currently has a staff team of 34 people, which includes 3 seconded staff, 3 outsourced staff and 3 sessional workers.

There is also an existing team of 12 active volunteers who sit as Referral Order Panel members who have recently received refresher training. Plans are in place to recruit and train a further 12 volunteers who will be available to sit on panels by July 2011.



All staff and volunteers are subject to enhanced CRB checks which are renewed every three years.

Hartlepool YOS is committed to workforce development, understanding the need to develop and maintain a competent and skilled workforce able to deliver an effective and efficient Criminal Justice Service.

Hartlepool YOS understands the need to develop and maintain a confident and competent skilled workforce, in order to deliver an effective and efficient local youth justice system and meet any future challenges to youth justice priorities. The YOS is committed to the development of its people and values the contribution they make to provide quality services within a best value framework.

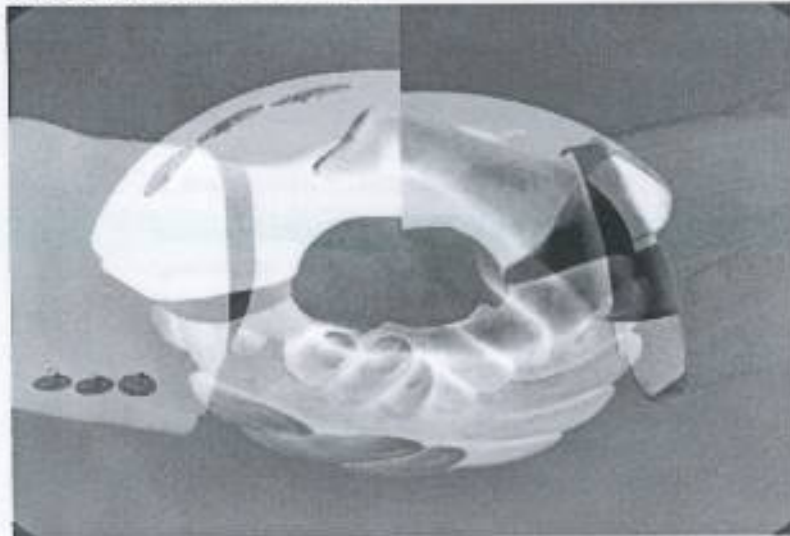
These arrangements compliment the government's vision of a children's workforce that:

- ◆ is striving to achieve the best possible outcomes for all children and young people and to reduce inequalities between the most disadvantaged and the rest.
- ◆ is competent, confident and safe to work with children and young people.
- ◆ people aspire to be part of and want to remain in, where they can develop their skills and build satisfying careers.
- ◆ parents, children and young people trust and respect.



## Partnership arrangements

Hartlepool has a series of themed partnerships, however these are currently under review. There is a statutory requirement for a community safety partnership and in Hartlepool this is known as the Safer Hartlepool Partnership. The Youth Offending Service reports to the Safer Hartlepool Partnership.



### Community Strategy 2008 – 2020

The updated Community Strategy builds on the 2002 Strategy and provides a revised policy framework for Hartlepool. It describes a long-term vision – Hartlepool's ambition and aspirations for the future:

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

The Vision is further articulated through a set of aims, outcomes and associated objectives grouped into eight priorities:

1. Jobs and the Economy
2. Lifelong Learning & Skills
3. Health & Well-being
4. Community Safety
5. Environment
6. Housing
7. Culture & Leisure
8. Strengthening Communities

Hartlepool YOS is a multi-agency team which has responsibility for the geographic area of Hartlepool Borough. Working from our new location at Windsor Offices above Middleton Grange Shopping Centre.

Partnership working across the statutory and voluntary sector is well established and effective. Relevant partners second the appropriate level of staff and contribute funding to the Youth Offending Service pooled budget. Additional sources of income have been achieved through successful partnership bids to the Youth Justice Board and the Youth Crime Action Plan, which supports projects such as prevention, parenting, mentoring, reparation schemes, restorative justice and the Integrated Resettlement Service.

Intensive Supervision and Surveillance (ISS) funding which was previously centralised across the Tees Valley has now been devolved to individual Services, and Hartlepool is currently developing ISS in-house, as part of the more integrated case management system.

The YOS is a key member of the Safer Hartlepool Partnership, which is the local crime prevention and community safety service, covering

anti-social behaviour, prevention of offending and re-offending, drugs and alcohol with a focus upon public reassurance.

Service level agreements and protocols are in place with partner agencies for referrals and delivery of appropriate services to young people and their families to meet their needs.

A protocol is in place which sets out the working arrangements between Children's Social Care and the Youth Offending Service to ensure delivery of effective joint working with young people to achieve positive outcomes.

A Service Level agreement exists between Child and Adult Services and Barnardo's to deliver parenting support and interventions to parents requesting help and to those subject to a parenting order imposed by the court who have not previously engaged with parenting services.

The Children's Society deliver restorative justice interventions including victim offender mediation and work with victims in completing victim impact statements to be used in the work with the offender.

Prevention services have been developed by the multi-agency involvement in 'Team Around the School'.

A good working relationship with the local Police has facilitated the development of 'Triage', first introduced in January 2010, for young people in Police custody who would previously have received a conviction. The Triage intervention addresses the young persons offending and includes a restorative activity. If the young person successfully completes the 'Triage' intervention there will be no further action from the Police. As a result the young person does not have a criminal record, which could affect their life chances in the future. In addition, the coordinator is also able to identify and alert police to persistent offenders at an early

stage, thereby speeding up procedures and ensuring that young person receives an appropriate disposal.

The YOS is represented within the Children's Partnership and is a member of the appropriate sub-groups. It is also represented on the Local Safeguarding Children Board.

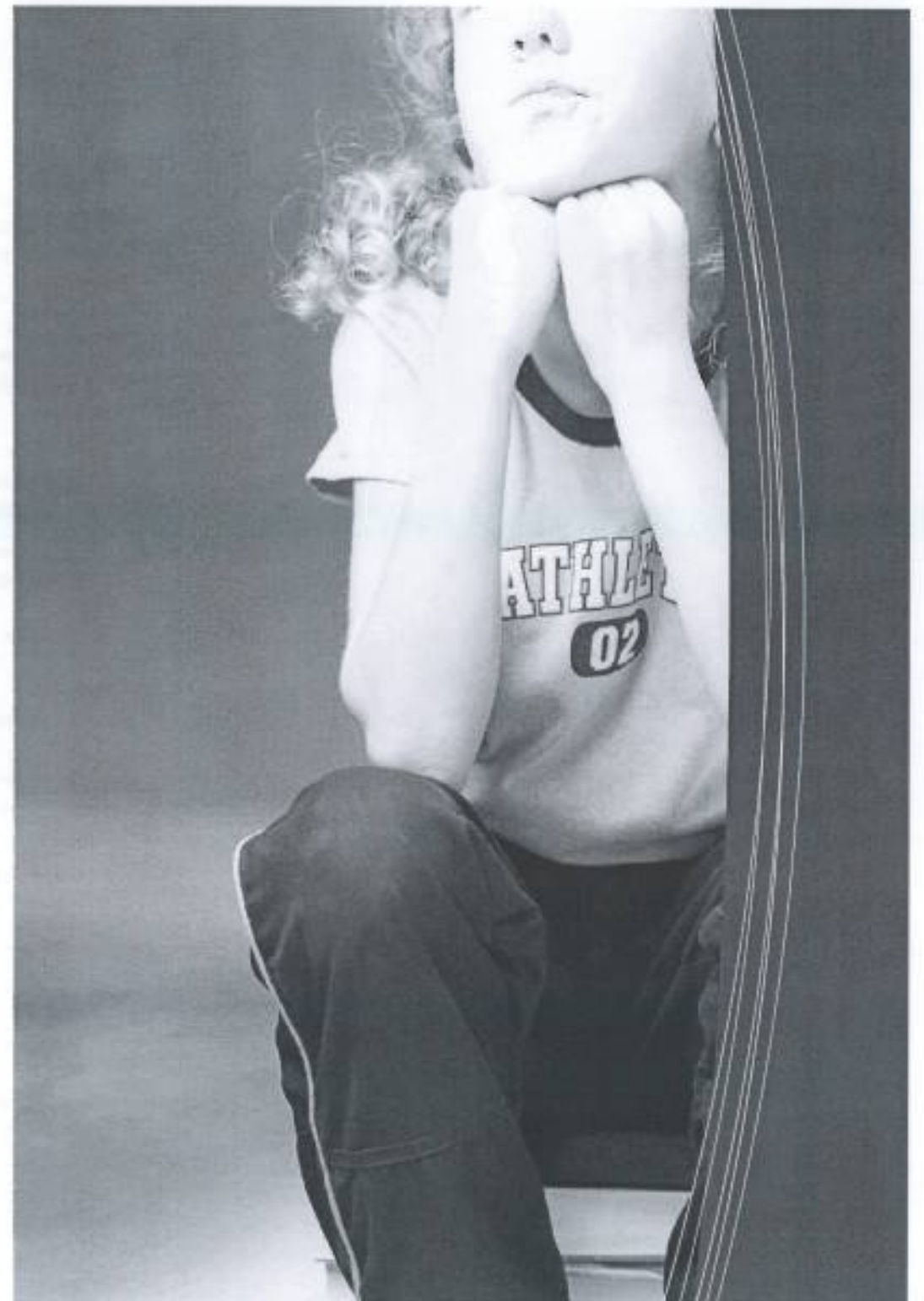
The Positive Contribution element of the Children and Young People's Plan includes the work of the YOS in preventing crime and anti-social behaviour.

Hartlepool YOS also engages with the complex web of priorities and targets from local partners and agencies.

Hartlepool YOS recognises that there is much to be gained from collaborative approaches across the Tees Valley and arrangements are in place, and a variety of natural links have been developed with other YOSs including joint training, shared resources etc.

The YOS has excellent relationships with other agencies and organisations the key aim being to share expertise, skills, knowledge and resources in a commonality of purpose to prevent offending and to ensure the security and prosperity of the people of Hartlepool. The YOS is involved at the highest levels of strategic decision making throughout the Borough. This is illustrated opposite.

## YOS Strategic Plan - Linkages to other Plans



## Risks to future delivery

The immediate context for this Plan is the recent change to a Coalition Government and the publication (December 2010) of their green paper entitled Breaking the Cycle: Effective Punishment, rehabilitation and Sentencing of Offenders, which outlines their plans for the criminal justice system in 3 areas;

1. punishing offenders,
2. protecting the public and
3. reducing reoffending.

The paper sets out what the government expects from Youth Justice Services in order to:

- ◆ prevent more young people from offending and divert them from entering into a life of crime, including by simplifying out-of-court disposals;
- ◆ protect the public and ensure that more is done to make young offenders pay back to their victims and communities;
- ◆ ensure the effective use of sentencing for young offenders;
- ◆ incentivise local partners to reduce youth offending and re-offending using payment by results models; and
- ◆ develop more effective governance by abolishing the Youth Justice Board and increasing freedoms and flexibilities for local areas.

Hartlepool YOS is confident that it has a structure and the staff with the appropriate skills to meet any future demands placed upon it and that the green paper does not conflict with any of the YOS's existing priorities.

Government announcements designed to reduce public spending will clearly impact upon current and future budget allocations for all public services and the YOS is no exception. Partners will be required to work together with restricted resources in this new climate of 'austerity'.

Potential further reductions in core funding and the lack of clarity around grant allocations, with subsequent loss of specialist staff and difficulties with recruitment are always areas of concern, however, the

YOS has successfully met these challenges in the past and is well placed to overcome any unpredictable future problems with the support of a committed, strong Management Board.

Hartlepool YOS intends to work with its partners to continue to drive efficiency within the Service through the delivery of high quality, lean and efficient practices which make maximum use of resources.

The YOS Partnership will be proactive in addressing risks to ensure it continues to achieve its central aim in it's priorities for 2010-11.

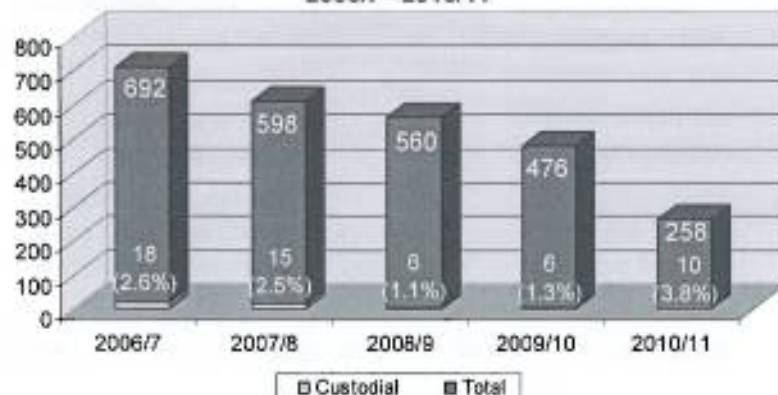


## YOS Priorities and Actions for 2010-2011

### Priorities

1. Ensure the YOS is a good place to work focusing on staff training, support and development.
2. Ensure effective risk and vulnerability management of all young people.
3. Maintain and improve compliance and performance in accordance with National Standards.
4. Sustain and deliver excellent partnership arrangements particularly with the Integrated Youth Service.
5. Provide high quality Restorative Justice Services that support victims of crime and provide confidence to both community and Youth Justice Services.
6. Sustain the reduction of first time entrants to the youth justice system and the reduction of further offending by young people already in the system.
7. Ensure the safe and effective use of custodial and remand sentencing. (see below)

**Number of disposals and % of which were custodial  
2006/7 - 2010/11**



### Actions

- ✓ Continue to ensure the efficient and effective use of resources by streamlining processes.
- ✓ Participate fully in any funding reviews undertaken in 2011-12 aimed at defining future budgets.
- ✓ Develop, review and improve current interventions particularly those associated with parenting and victim procedures.
- ✓ Promote the work and success of the YOS in local communities and with key stakeholders.
- ✓ Work effectively to increase the engagement in education, training and employment (ETE) of young people in the youth justice system.
- ✓ Improve our data recording procedures and performance management by ensuring regular data auditing and reporting procedures are in place.
- ✓ Develop a team which has a 'quality' culture at its centre.
- ✓ Develop and build upon the success of the 'Triage' system.
- ✓ Work more closely with the new management of the Attendance Centre to introduce and improve the interventions we can provide.
- ✓ Introduce additional data processing auditing, training and data surgeries to improve accuracy of recording procedures.
- ✓ Review existing commissioned services to ensure that commissioned services provide best value for money.
- ✓ Update our website to reflect recent changes in legislation and local arrangements.
- ✓ Review our operational procedures to ensure we are working within guidance issued by MAPPA (Multi Agency Public Protection Arrangements).

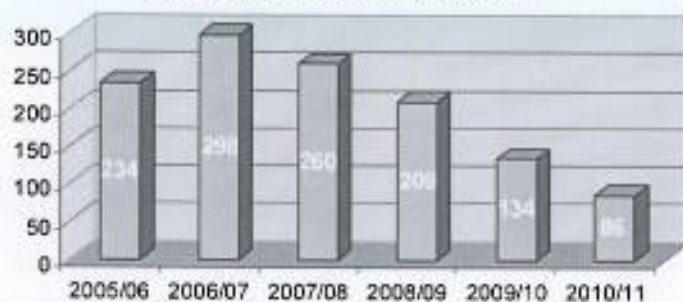
Details of the progress of actions are contained in the YOS Action Plan which is updated on a monthly basis.

## Significant Achievements

During 2010/11 the YOS made a number of significant achievements, including:

- ✓ Successfully developing the pilot 'Triage' model at the point of arrest with our partners Cleveland Police and the Crown Prosecution Service (CPS).
- ✓ The successful development of our 'Crime Prevention' approach which the HMI Inspection Team noted was one of the best structured schemes it had seen.
- ✓ Development of a professional highly qualified case management team.
- ✓ Improved court team arrangements.
- ✓ Increase in the number of reparation projects undertaken by young people and increased week-end and evening work.
- ✓ Improved performance against key indicators particularly the reduction in the number of first time entrants to the youth justice system. (see below)

**Young People entering the Criminal Justice System for the first time 2005/6 - 2010/11**



- ✓ Introduction of a 'learning style' assessment for all young people dealt with by the YOS.
- ✓ Improved health screening for young people.
- ✓ Introduction of scheduled risk and vulnerability multi agency meetings.
- ✓ Significant improvements in victim confidence and satisfaction levels.
- ✓ Successful disaggregation of Intensive Supervision and Surveillance without disruption to services.
- ✓ Significant reductions in both the numbers of young offenders (21.5%) and the offences committed by those offenders (22.1%) being dealt with in the criminal justice system; compared with 2009-10.

Further information about Hartlepool Youth Offending service can be obtained from

Youth Offending Service  
Windsor Offices  
Unit 24  
Middleton Grange Shopping Centre  
Victoria Road  
Hartlepool  
TS24 7RJ

Or visit our Website  
at

[http://www.hartlepool.gov.uk/a\\_to\\_z/service/1214/youth\\_offending\\_service](http://www.hartlepool.gov.uk/a_to_z/service/1214/youth_offending_service)





# CABINET REPORT

15<sup>th</sup> August 2011



**Report of:** Assistant Chief Executive

**Subject:** OPEN PUBLIC SERVICES WHITE PAPER

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## SUMMARY

### 1. PURPOSE OF REPORT

The purpose of this report is to brief Cabinet on the Open Public Services White Paper and to ask Cabinet to consider whether they wish to submit a response to the consultation questions posed in the White Paper and set out in **appendix 1**.

### 2. SUMMARY OF CONTENTS

This report summarises the key elements of the Open Public Services White Paper and outlines those areas of particular relevance to the Local Authority.

### 3. RELEVANCE TO CABINET

The report outlines government proposals which will affect how the council operates in the future.

### 4. TYPE OF DECISION

Non-Key Decision

### 5. DECISION MAKING ROUTE

Cabinet 15<sup>th</sup> August 2011

### 6. DECISIONS REQUIRED

Cabinet is requested to:

- (i) note the report and the publication of the Open Public Services White Paper;
- (ii) consider whether they wish to submit a response to the consultation questions posed in the White Paper and set out in appendix 1.

**Report of:** Assistant Chief Executive

**Subject:** OPEN PUBLIC SERVICES WHITE PAPER

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**1. PURPOSE OF REPORT**

- 1.1 The purpose of this report is to brief Cabinet on the Open Public Services White paper and to ask Cabinet to consider whether they wish to submit a response to the consultation questions posed in the White Paper and set out in appendix 1.

**2. BACKGROUND**

- 2.1 The Open Public Services White Paper was published in July 2011 and sets out how the government intends to reform public services over the next few years. The White Paper is not attached to this report but the link to the document is [www.cabinetoffice.gov.uk/sites/default/files/resources/open-public-services-white-paper.pdf](http://www.cabinetoffice.gov.uk/sites/default/files/resources/open-public-services-white-paper.pdf) and a copy of the document has been left in the Members Suite. Within the White Paper the government sets out that their intention is to tackle the unfairness and inefficiencies that they believe still exist within the public sector. It is also noted that it is the government's belief that giving people more control over the public services they receive, and opening up the delivery of those services to new providers, will lead to better public services for all.

**3. OVERVIEW**

- 3.1 The Open Public Services White Paper sets out “a comprehensive policy framework across public services”. Chapters 1 and 2 set out the Government's rationale and principles. At this stage the White Paper is very much a framework with much of the detail to be consulted on and worked out. Many of the key policies already established by the Government and identified in the White Paper as relevant (e.g. health service reforms, Localism Bill) are themselves at relatively early stages of development or implementation.
- 3.2 In the Government's view the problems with and poor performance of public services is a result of the current approach to delivering and organising public services which is out of step with the way life is lived. They set out five principles to guide the design and delivery of public services for the future:
1. Choice – Wherever possible we will increase choice by giving people direct control over the services they use and where this is not possible there should be more choice of providers.

2. Decentralisation – Power should be decentralised to the lowest appropriate level. The White Paper describes a hierarchy – individual, neighbourhood and commissioned services i.e. local and national services that cannot be devolved to individuals or neighbourhood communities.
  3. Diversity – The opportunity to provide public services should be open to a range of providers wherever possible.
  4. Fairness – Ensuring fair access to public services in order to advantage the disadvantaged and improve their outcomes.
  5. Accountability – Public services should be responsive to the people they serve and public services should be accountable to users, taxpayers, citizens and their elected representatives.
- 3.3 In brief the reforms will further push councils to become commissioning organisations rather than providers and also managers and regulators of markets as they will retain final accountability.

#### **4. INDIVIDUAL SERVICES (CHAPTER 3)**

- 4.1 There is a presumption in favour of providing individual choice and control through mechanisms such as direct cash payments, personal budgets, vouchers, tariff payments, loans and entitlements. The paper lists the key policies already being implemented. Particularly relevant to the council are:
- Adult social care – personal budgets and direct payments;
  - Personal health budgets to integrate health and social care;
  - Personal budgets for people with Special Educational Needs (SEN) and disabilities (see related Green Paper) and Supporting People clients;
  - Universal credit – housing component;
  - Early education;
  - School funding.
- 4.2 The need for interventions to manage these arrangements and satisfy the 5 principles is recognised although there is little detail. These interventions include providing:
- Timely and easily accessible information about services available and how good they are;
  - Government targeted funding and policies to help the poorest e.g. pupil premium;
  - A continuing role for regulation through Ofsted, CQC etc and the maintenance of minimum standards;
  - Arrangements for redress possibly through the various Ombudsmen;
  - Opportunities for elected and unelected consumer and citizen champions to promote choice and quality, for example through the overview and scrutiny role of councils.

## **5. NEIGHBOURHOOD SERVICES (CHAPTER 4)**

- 5.1 Where it is not possible to devolve services to the individual then the preference is to give people direct control over neighbourhood services, either by transferring the ownership of those services directly to communities, or by giving neighbourhood groups democratic control over them.
- 5.2 The key policies already being implemented include from the Localism Bill the Community Rights to Buy, Build and Challenge, asset transfer to community management and notice to VCS of funding changes.
- 5.3 The types of services thought suitable for neighbourhood provision and control are street improvements, parking and traffic restrictions; local libraries; local museums and arts; sports, local parks and leisure facilities; licensing of certain premises other than for the provision of alcohol; minor bye-laws and lower-level anti-social controls; and community grants.
- 5.4 The Government plan to consult on the scope for enabling neighbourhood councils (i.e. Parish, Town or Community Councils) to control local services and how a national framework for local schemes to promote this approach could work.

## **6. COMMISSIONED SERVICES (CHAPTER 5)**

- 6.1 The Government recognise that many services will need to be provided or commissioned by government – central and local. The clear preference is for government to commission from a diverse range of service providers.
- 6.2 The Government will consult with local authorities and the wider public sector about how to go further in opening up locally commissioned services. Specifically mentioned services include:
- customer contact;
  - planning;
  - property and facilities management;
  - back-office transactional services;
  - family support;
  - support for looked-after children;
  - trading standards and environmental services;
  - housing management;
  - Natural environment support;
  - Public transport support;
  - Skills;
  - Services for families with multiple problems.

### 6.3 Consultation will include seeking views on whether:

- the role of councillors as citizen champions needs to be enhanced to ensure proper accountability of providers from all sectors – such as extending their powers of overview and scrutiny to other sectors, as is being done in the NHS;
- how greater user participation or management in all sectors can be enabled; and
- whether providers in all sectors should be subject to the same requirements for transparency (e.g. performance data).

## 7. ENSURING DIVERSITY OF PROVISION (CHAPTER 6)

7.1 At the core of the White Paper is the belief that opening up the delivery of services to new providers will lead to better public services for all. The Government is to consult on how it could extend the type of autonomous status of local health trusts, academies, leisure trusts and arms length management organisations to most of those organisations within the public sector that provide services, while ensuring transparency and accountability. The White Paper makes specific reference to exploring different models of increased independence and a more diverse provider base to children's centres – including considering employee mutual's and how to achieve a greater role for voluntary and private sector providers.

7.2 This chapter also discusses other means of opening up public services. These include breaking down barriers to entry by:

- Deregulating the public sector by cutting regulation;
- Review of employment law;
- Early disclosure of TUPE liabilities;
- Promoting public service mutual's;
- Ensuring the full range of organisations – any size and from any sector - are able to compete with the possibility of an appeal process if organisations feel they have been unfairly precluded. Specific mention is made of 'breaking down the barriers to entry for potential providers of public services'.

7.3 The White Paper states whether services are open to alternative provision remains a decision for democratically accountable politicians (paragraph 6.21). However room for manoeuvre may be severely limited given the financial context. This is rarely referred to in the White paper and then only obliquely as "fiscal consolidation".

7.4 The Government believes that having a range of providers will promote diversity and innovation and therefore improved services and recognises that "small levels" of failure are inevitable. These are to be addressed by "continuity regimes" based on 6 principles:

- Support from the state to struggling organisations to turn around poor performance, within agreed timescales, before failure occurs;
- Accountability for providing quality services and good financial management should remain firmly with the provider;
- Where service failure occurs and is the result of poor management, there should be severe consequences for management and others involved in the governance of the provider;
- Continuity regimes (developed by HM Treasury, the Cabinet Office and Departments) should therefore articulate a short, carefully selected list of existing data that will be used to identify failure;
- There is a role for external bodies, independent of government (such as regulators), with powers to ensure proper financial management (including financial robustness where appropriate) and to intervene to ensure continuity of service;
- Systems should be flexible to accommodate the changes our open public services reforms will bring, and so government departments should set out the long-term vision for ensuring continuity of service, as well as any transitional arrangements.

7.5 Much of the detail around this remains to be worked out and will require an element of bureaucratic control.

## **8. ENABLING MEASURES (CHAPTER 7)**

8.1 Chapter 7 sets out the enabling measures to support this shift to open public services and the White Paper puts “strong local government” at the heart of the proposals. The future role of local authorities is seen as “to ensure individuals in their areas have well informed, fair access to a diverse range of quality providers, so that choice can be meaningful”.

8.2 The Government is to “engage with local authorities to develop a shared vision about the new opportunities and possibilities for stronger local government created by this open public services agenda.”

## **9. NEXT STEPS (CHAPTER 8)**

9.1 There will be a listening period from July to September 2011 during which the Government will seek responses from members of the public and the public, private and voluntary sectors to the questions that they pose in the White Paper. The consultation questions are included as appendix 1. A website has been established where responses can be made and also where events on the White Paper will be advertised:  
[www.openpublicservices.cabinetoffice.gov.uk](http://www.openpublicservices.cabinetoffice.gov.uk)

9.2 In November 2011 the Government will set out how their departments will take forward ideas to implement open public services over the remainder of this Parliament. Then from April 2012 Government departments will publish regular progress reports.

## **10. CONCLUSION & NEXT STEPS FOR THE COUNCIL**

- 10.1 Overall, the White Paper sets out a direction for the future of public services and in particular the role of Local Government without being clear at this stage of the detailed mechanisms and regulations to achieve this. The reforms that are set out will further push councils to become commissioning organisations rather than providers. In addition Council's will also be managers and regulators of markets as they will retain final accountability.
- 10.2 What is less clear is the pace of change and what the landscape of public service provision will look like in 2-3 years time. There is little reference to prospective legislation in the White Paper apart from the suggestion that Government will explore legislation to enshrine an overarching right to choice in individual services. This would clearly define in law those rights that are already set out in existing pieces of legislation (for example, the Education Reform Act 1988), as well as providing a framework for extending this to any new areas considered appropriate.
- 10.3 The Council will need to consider its overall response to principles and overall direction set out and the implications for structures and finances.

## **11. RECOMMENDATIONS**

- 11.1 Cabinet is requested to:
- (i) note the report and the publication of the Open Public Services White Paper;
  - (ii) consider whether they wish to submit a response to the consultation questions posed in the White Paper and set out in appendix 1.

## **12. BACKGROUND PAPERS**

- [Open Public Services White Paper \(July 2011\)](#)

## **13. CONTACT OFFICERS**

Andrew Atkin  
Assistant Chief Executive  
Tel: 01429 523003  
Email: [Andrew.atkin@hartlepool.gov.uk](mailto:Andrew.atkin@hartlepool.gov.uk)



**Open Public Services White Paper - Questions for Consultation**

During the consultation period July - September 2011 the Government would welcome views on the following:

Chapter 3 – Individual Services

- How best, in individual services and on a case-by-case basis, can we ensure that people have greater choice between diverse, quality providers?
- Consistent with the Government's fiscal plans, what further opportunities exist to target funding to help the poorest, promote social mobility and provide fair access to public services?
- Are there additional areas where personal budgets would be appropriate and could existing initiatives on personal budgets be accelerated?
- How can the principle be implemented that providers (from whichever sector) who are receiving public money for individual services should collect satisfaction data in a standardised form to enable comparison and put it into the public domain?
- How can we ensure that people are aware of, and can exercise, their right to choice effectively in specific services, through choice champions, choice prompts, data and a possible new role for Ombudsmen?
- What is the appropriate role for elected and unelected office-holders in championing individuals' ability to exercise choice and ensure accountability from service providers?
- How can we ensure that our approach to opening public services protects and enhances accountability rather than dispersing it?

Chapter 4 – Neighbourhood Services

- What is the scope for neighbourhood councils to take greater control over local services?
- What help will neighbourhood councils need to enable them to run any services devolved to them?
- What would make it easier to establish new neighbourhood councils in areas where local people want them?
- Do additional checks and balances need to be created to ensure proper financial control?
- How can we improve the delegation and financial framework for neighbourhood councils?

- How do we ensure appropriate accountability for services run by communities to ensure that those not involved directly are not disadvantaged?

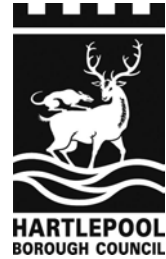
#### Chapter 5 – Commissioned Services

- What is the scope to extend and/or deepen the commissioning approach across public services?
- What further potential is there to decentralise central government commissioning to locally elected individuals and authorities?
- To which areas should we apply the open commissioning policy?
- What else can government do to overcome any traditional boundaries between public service providers, which get in the way of solutions to people's needs?
- How can we ensure that commissioners and providers are best held to account?
- What new skills and training will commissioners need?

#### Chapter 6 – Ensuring Diversity of Provision

- How can we stimulate more openness and innovation in public services through new types of provision?
- What more could we do to support and catalyse new enterprises (e.g. mutuals) spinning out from the public sector?
- Where and how should we extend autonomous status for public sector providers?
- How do we ensure a true level playing field between providers in different sectors?
- How can we create new, more diverse types of provider out of public sector bodies?
- How can we best enable external investors and public service providers (from all sectors) to combine their resources to improve public services?
- How could we best achieve our goal for more back-office services in central government to be provided independently and flexibly?
- How should government regularly review the barriers to entry and exit for providers?
- How can we ensure continuity of services, in particular for the most vulnerable users?

**CABINET REPORT**  
15<sup>th</sup> August 2011



**Report of:** Director of Regeneration and Neighbourhoods

**Subject:** 20's PLENTY TRAFFIC CALMING MEASURES-  
OUTCOME OF TOWN-WIDE CONSULTATION

---

**SUMMARY**

**1. PURPOSE OF REPORT**

To advise on the outcome of the recent town-wide consultation on the implementation of a 20's Plenty scheme across the town, and make proposals on the way forward as a result.

**2. SUMMARY OF CONTENTS**

The report contains a brief history of the 20's Plenty Scrutiny process to date together with the outcome of the recent town-wide consultation

**3. RELEVANCE TO CABINET**

This is a follow up report from Cabinet on the 21<sup>st</sup> March 2011.

**4. TYPE OF DECISION**

Non Key

**5. DECISION MAKING ROUTE**

The final report with recommendations from the Neighbourhood Services Scrutiny Forum was presented to Cabinet on 21<sup>st</sup> March 2011.

**6. DECISION(S) REQUIRED**

That due to the low response to the consultation exercise, officers continue to work with Members to identify more localised areas in

which 20mph limits may be introduced, rather than as a town-wide scheme.

**Report of:** Director of Regeneration and Neighbourhoods

**Subject:** 20's PLENTY TRAFFIC CALMING MEASURES-  
OUTCOME OF TOWN-WIDE CONSULTATION

---

## 1. PURPOSE OF REPORT

- 1.1 To advise on the outcome of the recent town-wide consultation on the implementation of a 20's Plenty scheme across the town, and make proposals on the way forward as a result.

## 2. BACKGROUND

- 2.1 On 21<sup>st</sup> March 2011, a report was presented to Cabinet to outline the findings and conclusions of the Neighbourhood Services Scrutiny Forum's investigation into '20's Plenty –Traffic Calming Measures.'
- 2.2 The report outlined the overall aim of the scrutiny investigation, terms of reference, methods of investigation, findings, conclusions and subsequent recommendations. The Chair of the Scrutiny Forum informed Members that one of the key issues identified during the investigation was the importance of engagement with the local community, and education/ awareness of all road users. It was highlighted that the investigation had taken account of the current financial position faced by the Council, and had recommended a roll out programme across 3 years costing around £150k, which would be funded from the Local Transport Plan budget.
- 2.3 The Scrutiny process identified that there was general support for the implementation of 20 mph zones in residential areas across the town, but Members were keen that a wider public consultation exercise be undertaken, including driving instructors and taxi drivers. It was noted that officers were currently examining the de-cluttering of road signs and other street furniture across the town, and also the issue of on-street parking and parking on pavements. It was suggested that any roll out of the 20 mph zones be looked at in conjunction with the above, to ensure that any signage requirements be combined wherever possible.
- 2.4 As part of the town wide consultation exercise:
- Every elected member was consulted by letter;
  - Officers attended each of the Neighbourhood Consultative Forum meetings in June to present the details of the scheme;
  - A town-wide public meeting was held, on 15<sup>th</sup> July;

- An article was placed in the Council's Heartbeat Magazine;
- Press releases in the Hartlepool Mail on 3 occasions;
- a radio interview and advertising campaign was carried out; and
- the views of the emergency services, bus operators, taxi drivers, driving instructors and other road users were sought through the Traffic Liaison Group.

2.5 As a result of this consultation 62 responses were received (See **Appendix 1**). Of these 18 specifically referred to a request by residents in the area for the scheme to be extended to include Warrior Drive (not originally identified as one of the roads to be subject to a 20mph limit). Of the remaining responses, 35 were against the introduction of a town-wide 20mph speed limit, whilst the other 9 supported it.

### 3. PROPOSALS

3.1 Due to the very poor response to the consultation it would seem to be inappropriate to continue towards the implementation of a town-wide 20mph speed limit.

3.2 However, during the course of the consultation some Members did indicate that they were very supportive of the principal of 20mph speed limits on estate roads, and had received representations from residents' groups to this effect. Those Members were still keen to see 20mph limits introduced in certain areas.

3.3 As a result of this interest it is proposed that, rather than a town-wide scheme, officers work with Members to identify areas in which a 20mph zone can be established cost effectively and in accordance with the wishes of the majority of residents.

3.4 The implementation of school 20mph zones and safety schemes will, of course, continue independently of this process.

### 4. FINANCIAL CONSIDERATIONS

4.1 The cost of the implementation of any schemes will be funded through the Local Transport Plan.

### 5. RECOMMENDATIONS

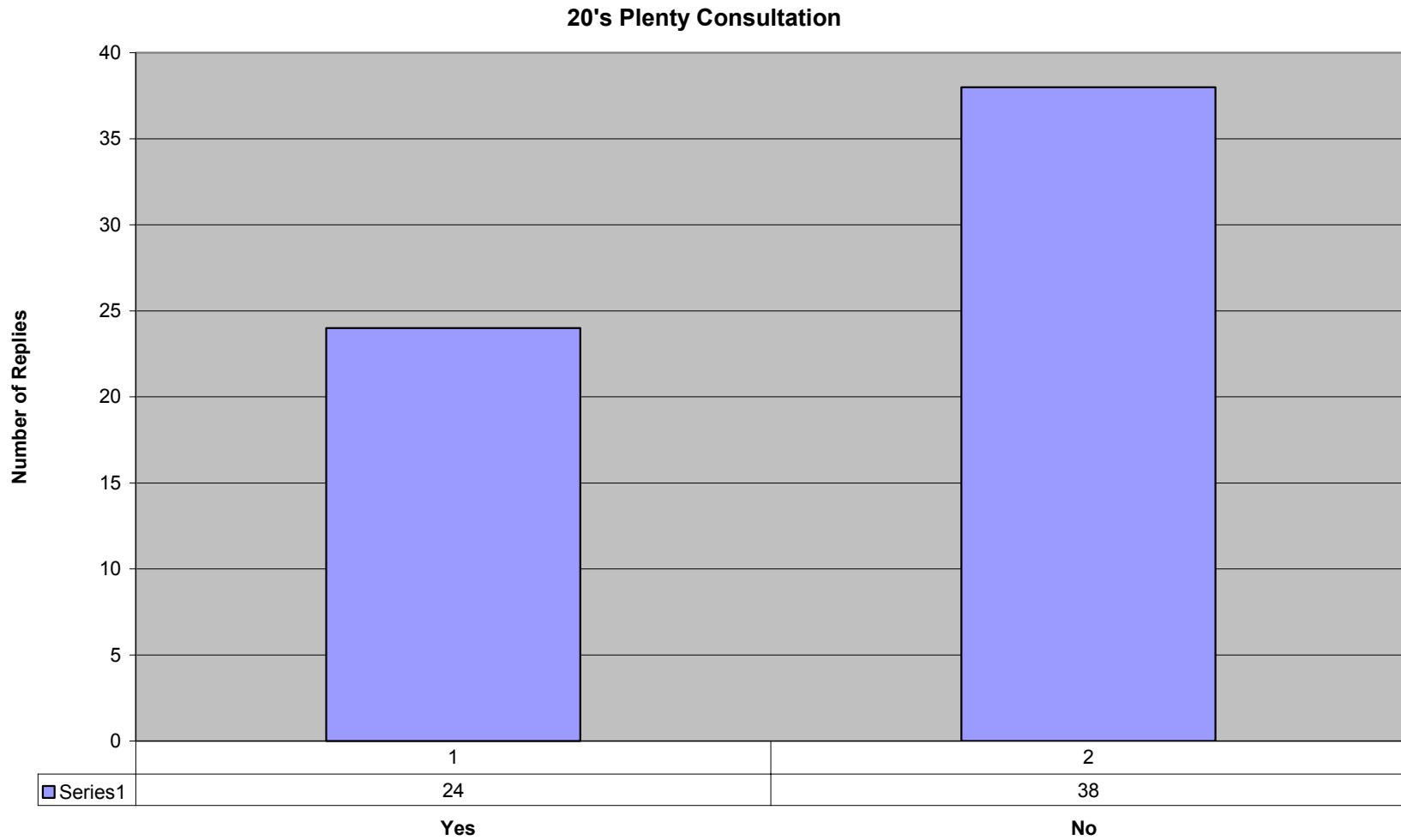
5.1 That, due to the low and negative response to the consultation exercise over the introduction of a town-wide 20mph speed limit, officers continue to work with Members to identify more localised areas in which the speed limit could be introduced.

**6. REASONS FOR RECOMMENDATIONS**

- 6.1 To improve road safety by the introduction of 20mph limits, in residential areas where this is supported by local people.

**7. CONTACT OFFICER**

- 7.1 Alastair Smith, Assistant Director (Transportation and Engineering)  
Regeneration and Neighbourhoods  
Hartlepool Borough Council  
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## CABINET REPORT

15<sup>th</sup> August 2011



**Report of:** Director of Regeneration and Neighbourhoods

**Subject:** LOCAL INFRASTRUCTURE PLAN

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### SUMMARY

#### 1. PURPOSE OF REPORT

This report seeks Cabinet approval to the draft Local Infrastructure Plan which forms part of the Core Strategy evidence base.

#### 2. SUMMARY OF CONTENTS

The report explains the purpose of the Local Infrastructure Plan (LIP), outlines the main elements of the Plan which is attached as an appendix to the report, and seeks approval to the content of the Plan which is to be used as a basis for consultation with statutory consultees and key stakeholders.

#### 3. RELEVANCE TO CABINET

The content of the Plan includes issues which relate to several portfolios.

#### 4. TYPE OF DECISION

4 Non Key

#### 5. DECISION MAKING ROUTE

Cabinet 15<sup>th</sup> August 2011

#### 6. DECISION(S) REQUIRED

Cabinet is requested to approve the draft Local Infrastructure Plan.

**Report of:** Director of Regeneration and Neighbourhoods

**Subject:** LOCAL INFRASTRUCTURE PLAN

---

## **1. PURPOSE OF REPORT**

- 1.1 This report seeks Cabinet approval to the draft Local Infrastructure Plan which forms part of the Core Strategy evidence base.

## **2. BACKGROUND**

- 2.1 Details of the draft Local Infrastructure Plan (LIP) were presented to Cabinet on 1<sup>st</sup> August as part of a report covering a number of planning policy issues. The element of the report relating to the LIP sought endorsement of the draft LIP and approval to consult on its content with statutory consultees and other key stakeholders. In error, the draft LIP had not been appended to the report when it was sent out to Cabinet members and although copies were tabled at the meeting, Cabinet deferred consideration of this until a later meeting. In recognition of the timescales for consulting and finalising the report, members did, however, authorise officers to commence the consultation process with statutory consultees and key stakeholders.

## **3 INFORMATION**

- 3.1 The LIP is an integral element of the Core Strategy. At the time of Publication it will be necessary to have in place a Local Infrastructure Plan which identifies the elements of key infrastructure which need to be provided to support the delivery of the Core Strategy. The LIP identifies the type of infrastructure required to facilitate the allocations within the Core Strategy and assesses the following infrastructure needs:

- Transport infrastructure;
- Education provision;
- Health provision;
- Provision of Utilities;
- Green infrastructure and other community facilities;
- Coastal and Flood Defences; and
- Landfill and Waste

- 3.2 The LIP sets out the specific infrastructure schemes which will need to happen, who needs to deliver them, and considers how the infrastructure will be funded. It will form a key part of the Core Strategy evidence base and will be the mechanism by which its delivery can be monitored. The LIP needs to set out a realistic delivery programme for the Core Strategy; it should be consistent with other Council strategies, as well as delivery plans and investment programmes of other infrastructure providers.
- 3.3 Before being finalised it is necessary to consult with statutory consultees and key stakeholders to ensure that the information contained within the LIP is accurate and there are no strategic features omitted from the document. Officers have produced a draft LIP for consultation and this is attached as **Appendix 1**. The consultation period would run for six weeks and comments received will be used to update the LIP prior to its completion, at which point a report would be brought back to members for final endorsement. Cabinet is requested to approve the draft LIP and authorise officers to put it out to consultation as described above.

#### 4. **RECOMMENDATIONS**

- 4.1 Cabinet is requested to approve the draft Local Infrastructure Plan.

#### 5. **CONTACT OFFICER**

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Hanson Square  
TS24 7BT  
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*Derek.gouldburn@hartlepool.gov.uk*

**HARTLEPOOL LOCAL INFRASTRUCTURE PLAN  
CONSULTATION DRAFT  
JUNE 2011**

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# 1 INTRODUCTION

## 1.0 What is a Local Infrastructure Plan and why is it required?

1.1 The Council is preparing a Core Strategy which will guide the scale and distribution of new development, the use of land and buildings and the provision of infrastructure in the Borough over the next 15 years.

1.2 In order to create sustainable communities in the Borough, providing new development opportunities for housing and employment, is not sufficient. There is also a need to provide the necessary supporting physical, social and green infrastructure in the appropriate location and at the right point in time.

1.3 This Local Infrastructure Plan (LIP) is an integral element of the Core Strategy. It identifies the type of infrastructure required to facilitate the allocations within the Core Strategy and sets out when specific infrastructure schemes will need to happen, who needs to deliver them and how the infrastructure will be funded. It will form a key part of the Core Strategy evidence base and will be the mechanism by which its delivery can be monitored. This LIP will identify, as far as possible:

- Infrastructure needs and costs
- Phasing of development
- Funding sources
- Responsibilities for delivery

1.4 The LIP needs to set out a realistic delivery programme for the Core Strategy; it will be consistent with other Council strategies, as well as delivery plans and investment programmes from other infrastructure providers.

1.5 This document is available for statutory consultees and other key stakeholders to comment on for a period of six weeks from Friday 5<sup>th</sup> August 2011 until Friday 16<sup>th</sup> September 2011.

1.6 Copies of these documents are available at:

Bryan Hanson House  
Hanson Square  
Hartlepool  
TS24 7BT

1.7 They will also be available for statutory consultees and key stakeholders to view on the Council's website: [www.hartlepool.gov.uk](http://www.hartlepool.gov.uk)

1.8 Comments on the LIP can be made in the following ways:

- 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](mailto:Planningpolicy@hartlepool.gov.uk)

1.9 All comments should be received by **4pm on Friday 16<sup>th</sup> September 2011**.

#### **1.10 Next Steps**

1.11 After the consultation ends, all comments received on the LIP will be considered and where appropriate the document will be revised to take them into account prior to moving to the Publication Stage of the Core Strategy.

## 2 INFRASTRUCTURE PROVISION - A POLICY CONTEXT

- 2.1 The National Infrastructure Plan published by the Treasury in October 2010 in response to the spending review, provides detailed evidence of the Government's commitment to continue to strengthen the nation's capital assets:

*“For the economy to flourish, people, goods and information must move freely. Businesses across all regions and industries need the right conditions to grow. Reliable infrastructure: energy, water, transport, digital communications and waste disposal networks and facilities, are essential to achieve this. Ensuring these networks are integrated and resilient is vital.”*

- 2.2 Coordinating development and the delivery of accompanying infrastructure has become more prominent in recent years. PPS12<sup>1</sup> states that to deliver sustainable communities, 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 Hartlepool, taking account of its type and distribution. This Local Infrastructure Plan (LIP) should also include the specific infrastructure requirements of any strategic locations which are allocated in the Core Strategy.

- 2.3 The Coalition Government has signalled a number of priorities for its transport programmes. Alongside the effective prioritisation of public spending on transport and the vigorous pursuit of efficiency, the Government has highlighted the primacy of two transport challenges of national importance<sup>2</sup>, namely:

- Supporting growth by improving the links that move goods and people around our economy; and
- Tackling climate change through policies which deliver technology and behaviour that will decarbonise mobility as we progress through the 21st Century.

- 2.3 Infrastructure Delivery: Spatial Plans in Practice<sup>3</sup> recommends that infrastructure delivery requirements should be related to the broader implementation of policies. Reflecting this, the Core Strategy should identify key infrastructure requirements, their funding and delivery mechanisms (where known) for the policies within the plan.

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<sup>1</sup> Planning Policy Statement 12 – “Local Spatial Planning” - DCLG – June 2008

<sup>2</sup> Speech by The Rt Hon Philip Hammond MP, Secretary of State for Transport, 10 September 2010, IBM START Conference: Business Summit

<sup>3</sup> Infrastructure Delivery: Spatial Plans in Practice – Supporting the reform of Local Planning - DCLG – June 2008



- 2.4 PPS1<sup>4</sup> also states that planning authorities should ensure that infrastructure and services are provided to support new and existing economic development and housing. Further guidance is provided in PPS3<sup>5</sup> which states that the planning system should deliver Housing developments in suitable locations, which offer a good range of community facilities and with good access to jobs, key services and infrastructure.
- 2.5 The Tees Valley Local Enterprise Partnership (LEP) recognises the importance of having comprehensive and modern infrastructure in place to attract world class businesses into the Tees Valley. Understanding the needs and constraints in relation to infrastructure including highways issues, flooding, hazards and electricity and water will enable the Tees Valley to be competitively placed to compete with its European and International competitors. The LEP are likely to take the lead on the development of a Tees Valley Strategic Infrastructure Plan.
- 2.6 Through this LIP the Council should be able to co-ordinate infrastructure providers and the delivery of infrastructure. The LIP will also establish the various funding mechanisms available for infrastructure delivery, where known at this stage, including developer contributions which can have a significant role in helping to deliver infrastructure across the Borough.
- 2.7 The Council will also seek to ensure that other planning documents within the Local Development Framework as well as other key documents within the Council, such as the Local Transport Plan and the Sustainable Community Strategy, are in general conformity with the Core Strategy, including this Infrastructure Plan.

### **3 Infrastructure Delivery in Hartlepool**

- 3.1 The Core Strategy policies will provide the spatial direction for Hartlepool. This LIP provides a framework within which detailed infrastructure projects can be identified and prepared at a local level, covering topics such as highways, education and health.
- 3.2 Hartlepool's future sustainable growth and development depends on the timely funding and delivery of supporting infrastructure that reflects the scale and type of development and the needs in the locality; without it, new development may be delayed and/or there could be unacceptable adverse social, economic or environmental impacts on existing infrastructure.

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<sup>4</sup> Planning Policy Statement 1 – “Delivering Sustainable Development” – ODPM – January 2005

<sup>5</sup> Planning Policy Statement 3 – “Housing” – June 2010

- 3.3 Improved alignment of investment is critical to delivery of timely infrastructure. Whilst public sector funding will contribute towards some of the infrastructure delivery to provide the growth set out in the Core Strategy, major cuts in government spending, especially in the short term, makes it difficult to plan for long-term growth. Commercial companies and private infrastructure providers also need to contribute significantly towards infrastructure delivery over the coming years to ensure that a sound system is in place to accommodate the strategic growth planned for within the Core Strategy. These new developments should minimise the pressure put on existing infrastructure in the town. Further work still needs to be done with the responsible infrastructure providers to ensure that the Borough's necessary infrastructure is provided in a timely fashion. Where appropriate this information will be used to inform and update this Plan.
- 3.4 For the latter part of the Core Strategy plan period, infrastructure requirements may not be as precise as for the early part. However policies and proposals will not be included in the Core Strategy where this LIP cannot demonstrate that there is a contingency arrangement in place should the proposed deliverability mechanism stall.

#### **4.0 Infrastructure Requirements to support the Core Strategy**

- 4.1 In preparing the Core Strategy, the Council has, and will continue to engage, in discussions with key infrastructure providers to ensure that, at this strategic level, plans are in place to underpin infrastructure delivery.
- 4.2 In relation to the Core Strategy, the key areas of infrastructure provision are considered to be:
- Transport infrastructure;
  - Education provision;
  - Health provision;
  - Provision of Utilities;
  - Green infrastructure and other community facilities;
  - Coastal and Flood Defences; and
  - Minerals and Waste

## 5.0 Transport Infrastructure

5.1 The provision of modern, competitive transport infrastructure that improves both internal and external connectivity will assist in improving the economic performance and urban competitiveness within the Tees Valley. The Statement of Transport Ambition for the Tees Valley identifies specific objectives and priorities for transport over the next 10-15 years, which will help make the vision, set out in the Tees Valley Economic and Regeneration Statement of Ambition<sup>6</sup> (SoA) a reality.

5.2 The transport system is regarded as a potential constraint on economic growth, in particular the ability of the trunk road network to cope with future development and the lack of accessibility of jobs by public transport. Key projects to tackle this issue include:

- Improving the Tees Valley City Region bus network to offer a step change in public transport provision in terms of frequency, reliability, quality and convenience, with a coordinated approach to public transport provision and to enhance access from local residential areas to town centres and major employment locations (Tees Valley Major Bus Scheme);
- Developing a sub-regional, integrated public transport system based on the existing heavy rail system to create a high quality, fast and reliable solution (Tees Valley Metro);
- Tackling projected traffic growth on the trunk road network through an approach of provision of quality public transport, enhancing the local road network and demand management.

5.3 The Tees Valley LEP highlights a number of challenges in terms of transport infrastructure which must be overcome in the coming years, they include:

- Changing patterns of travel demand;
- Worsening highway congestion affecting key junctions and radial corridors, particularly through increasing car ownership levels;
- Conflicts between strategic and local traffic on the trunk road network;
- The potential for further decline in the extent of the commercial bus network; and
- Limited frequency of sub-regional rail services with some capacity constraints.

### Tees Valley Major Bus Scheme

5.4 A major Tees Valley Bus Network Improvements scheme is being progressed by the local authorities in partnership with bus operators Arriva

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<sup>6</sup> Tees Valley Economic and Regeneration Statement of Ambition, Tees Valley Unlimited, June 2010.

and Stagecoach. This will provide a comprehensive series of bus priority measures, improved passenger waiting facilities, consistently high quality specification for vehicles, and measures to improve information and ticketing on core bus routes (Hartlepool Core Bus Routes are included as Appendix 1) across the Tees Valley. This scheme achieved final approval from the Department for Transport in June 2010 confirming that £37.5 million of central Government funding (£87.6m in total) would be made available for the improvement to bus services, passenger facilities and information across the Tees Valley. This is now likely to be delivered over a five year period to 2015.

- 5.5 The investment (detailed in Appendix 2) is being focussed largely on the core, frequent and commercially provided tier of the hierarchical bus network, to bring about a quality, stable and sustainable system that offers an effective alternative to the private car. However, all services will benefit to some degree from the measures. Network wide initiatives will include the provision of high quality, clear and focussed information and marketing materials in a wide variety of formats, and the enhancement and simplification of fares and ticketing. This is being complemented by ongoing bus operator investment in high quality accessible vehicles, enhanced standards of driver training and vehicle cleaning, and the consistent provision of frequent services from early morning to late evening.

#### Tees Valley Metro

- 5.6 Connecting the Tees Valley: The Case for Investment in Tees Valley Metro and the Heavy Rail Network, published in October 2006, highlighted the fact that the capacity and integrity of the existing transport network may hinder the future economic performance of the Tees Valley City Region. A proposal has, therefore, been drawn up to develop a 'Metro' system which will improve connectivity within the Tees Valley sub-region.
- 5.7 The preferred option for the scheme involves the conversion of the existing heavy rail line between Darlington and Saltburn to 'tram-train' operation. Five new stations will be created along the line as well as upgrades to existing stations and the provision of new rolling stock. Future expansion of the Tees Valley Metro could involve extensions to Hartlepool via Stockton and Billingham.
- 5.8 The estimated capital cost of the proposal is £141.9 million at 2005 prices. It is anticipated that this cost will be met from a variety of funding sources, including Network Rail, the five Tees Valley Local Authorities and the Department for Transport via a bid for Regional Transport Funding.

### Strategic Highway Network

5.9 Strategic highway modelling work focussed on the Tees Valley<sup>7</sup> shows that current congestion is focused on the strategic road network with specific problems summarised as:

- A19 Tees Viaduct and Stockton Road Interchange with A66;
- A66 particularly through Middlesbrough and Stockton;
- A19/A689 Wolviston Interchange;
- A174/A1053 Greystone Road network, the key route to and from Teesport and the industrial and petrochemical centres; and
- Darlington radial routes.

5.10 The major concern directly relating to Hartlepool is the congestion at the A19/A689 Wolviston Interchange and the impacts that has both for Hartlepool and for the wider Tees Valley. The junction of the A19/A179 is also a concern although this junction does not currently experience the problems associated with the A19/A689. It will be critical to ensure that future developments which will impact on the problems already experienced at these junctions, contribute towards measures which will improve capacity and efficiency and help to minimize congestion particularly at peak hours.

### Local Highway Network

5.11 Hartlepool Council has recently produced its third Local Transport Plan (LTP) which sets out improvements which will occur to the local network over the coming years. The strategy is not limited to the 5 year timescale of previous LTPs but is designed to look towards 2026 and evolve over this period. This will ensure that the LTP is aligned with regional strategies and the Local Development Framework. Over the period of the plan the Council will work in partnership with other organisations and agencies to deliver a wide range of local transport schemes and policy measures to address identified problems.

5.12 As Wynyard has been identified as a key site for the development of commercial business and residential in Hartlepool, it is crucial that going forward measures are put in place to mitigate any traffic impact from the construction of the site and its day to day operation. The Local Authority propose to do this by working with the Highways Agency and the developers to ensure the necessary highways improvements and through putting in place effective Travel Plans (as part of the Wynyard development we will expect to see improved pedestrian and cycle links

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<sup>7</sup> Tees Valley Area Action Plan, Tees Valley Unlimited and the Highways Agency, November 2009

- incorporated at the design stage). Also, should the proposed Wynyard Hospital development progress the Council will work with the developers to improve links to the hospital from across Hartlepool.
- 5.13 The improvements listed within LTP3 which will take place over the coming years will ensure that the network remains of a high standard. Appendix 3 is an extract from LTP3 and highlights some of the key network improvements which will be carried out over the coming years to improve not only the road system but the ability of public transport to effectively function and thus offer a viable alternative to the private car.
- 5.14 In addition to the works outlined in Appendix 3, it will be necessary for works to be undertaken over the lifetime of the Core Strategy to accommodate new developments proposed within the Core Strategy. In particular new housing developments along the western fringes of the town and also at Wynyard and new business developments will put additional pressures on the local network. It will be necessary to use legal agreements with the developers to ensure that adequate highway improvements are put in place to enable the network to cope with the additional levels of transport that will be experienced.
- 5.15 The list in Table 1, below, illustrates the areas where improvements may be needed to the highway network to facilitate developments and to ensure the safety and efficiency of the highway network over the plan period. Areas of particular concern which could impact on the deliverability of sites contained within the Core Strategy if the junction/network improvements are not delivered are highlighted in red in the Level of Concern column of table 1.

Table 1 – Areas where highway improvements are likely to be necessary over the life of the Core Strategy

Area/Junction	Reason for concern	Possible Improvement	Possible Funding Sources	Level of Concern to deliverability of Core Strategy
<b>A689/ A19/ Wynyard Area Proposals</b>	Necessary due to the expansion of Wynyard, with or without the hospital, taking into consideration the expanding business park and new residential development.	Schemes identified, and detailed in a report by the Highways Agency, for the 6 roundabouts from the A689/ A1185, heading west past Wynyard.	Section 106 Agreements related to future development within the Borough and in particular at Wynyard  Highways Agency  LTP	This junction already experiences high levels of congestion at peak times. Without major works to improve the efficiency of the junction it puts at risk the deliverability of both the residential and the business developments at Wynyard and also the south west extension.
<b>Signalisation of A19 northbound exit slip road onto the A179</b>	Due to increasing levels of congestion, particularly at peak times. Could be exacerbated by closure of central reservations at Dalton Piercy and Elwick in the future.	Signalisation of A19 northbound exit slip road onto A179.	Highways Agency  Possible developer contributions, through Section 106 Agreements	Although a critical junction to both the strategic highway network and to the local network these works, although important to ensure flows of traffic in and out of the north of the Borough, would not impact on the deliverability of the Core Strategy or any of its sites.
<b>A19 – New Junction to serve the Northburn Development</b>	There is currently no junction to serve this proposed development at Northburn.	A new junction will need to be constructed to serve the development site. Land will need to be reserved to allow for these works.	The developer of Northburn would be required to fund the new junction.	Without the junction being implemented the site cannot be developed. The costs associated with this obviously mean it is an area of concern.
<b>Possible closure of A19 central reservations at Dalton Piercy and Elwick</b>	To be investigated on safety grounds, in conjunction with the Highways Agency, due to a number of serious and fatal accidents.	Closure of reservations so traffic can only turn southbound from the east side of the A19.	S106 Agreements in relation to new developments including Tunstall Farm and Quarry Farm developments  LTP	This improvement is safety related and does not impact on the deliverability of the Core Strategy.

			Highways Agency	
<b>Main arterial route through the south west extension</b>	To serve south west expansion at Claxton.	From the A689, through the south west expansion site to Brierton Lane. Beyond Plan period may be necessary to expand northwards to link with A179.	Delivered from A689 to Brierton Lane as part of south west extension.	This route is necessary to serve the development. Without it there is no access into the development.
<b>South west extension link roads</b>	To ensure the network flows and reduces congestion at peak times.	Links into the existing highway network wherever necessary. First phase has identified possible links as being Brierton Lane and Macrae Road or Moffat Road.	Delivered as part of south west extension.	The new development will need to successfully link into the existing network to ensure flows and minimise congestion. If these links are not provided it would impact on the deliverability of the south west extension.
<b>Catcote Road/ Brierton Lane</b>	Staggered junction that currently exists needs improvement to cope with potential traffic from south west extension	Formation of standard crossroads and signalisation of junction, as already identified.	Delivered as part of south west extension.	Seen as an important improvement to provide an effective access into the northern part of the SW extension. If not improved congestion could become a major problem at this junction.
<b>A689/ Truro Drive</b>	Need to investigate potential improvements due to increased traffic in the area from the south west expansion.	Possible junction improvements	Delivered as part of south west extension.  Future LTP funding?	Seen as an important improvement, especially in the short term prior to the arterial route through the SW extension joining the northern and southern elements of the development. If not improved congestion could become a major problem at this junction through increased traffic from the northern part of the SW extension.
<b>A689/ Owton Manor Lane</b>	Need to investigate potential improvements due to increased traffic in the area from the south	Possible junction improvements	Delivered as part of south west extension.  Future LTP funding?	If not improved congestion could become a problem at this junction through increased traffic from the northern part of the SW extension.



	west expansion.			
<b>A689/ Rossmere Way</b>	Need to investigate potential improvements due to increased traffic in the area from the south west expansion.	Possible junction improvements	Delivered as part of south west extension.  Future LTP funding?	If not improved congestion could become a problem at this junction through increased traffic from the northern part of the SW extension.
<b>A689/ Brierton Lane</b>	Need to investigate potential improvements due to increased traffic in the area from the south west expansion.	Possible junction improvements	Delivered as part of south west extension.  Future LTP funding?	If not improved congestion could become a problem at this junction through increased traffic from the northern part of the SW extension.
<b>Catcote Rd/ Rossmere Way</b>	Need to investigate potential improvements due to increased traffic in the area from the south west expansion.	Possible junction improvements	Delivered as part of south west extension.  Future LTP funding?	If not improved congestion could become a problem at this junction through increased traffic from the northern part of the SW extension.
<b>Elwick Road (Hartlepool – A19 through Elwick)</b>	Potential increase in traffic from the developments of Tunstall Farm and Quarry Farm	Possible junction improvements	Through Section 106 Agreements in relation to developments including Quarry Farm and Tunstall Farm.	These improvements would improve traffic flows and safety but are not critical to the delivery of the plan.
<b>A689/ A179 Corridor</b>	It is essential that capacity is maximised at key junctions along this corridor, particularly in the town centre.	Possible junction improvements	Through Section 106 Agreements in relation to developments, particularly Urban Traffic Management Control contributions.	Important to ensure the flows of traffic through the town.
<b>A689/ Oxford Street</b>	The Stockton Road link from Burn Valley roundabout to Burn Road roundabout is having increased pressure placed on it, and will continue to do so due to the south west expansion and the Belle Vue re-development, along with other sites.	Potential scheme to open this junction and signalise it.	Possible future LTP contribution.  Possible Section 106 contributions.  Possible Bus Network Improvements contribution.	This junction is a key access to the town centre area and also into the Longhill and Sandgate industrial estate. Improvements will be important to ensure congestion is minimised.

<b>Easington Road link road into Middle Warren</b>	Flagged up as a desirable improvement during investigations into Falcon Road congestion levels. The latter phases of Middle Warren will also add to the problem.	Link road from Easington Road into Middle Warren.	Some S106 money could be secured through developments in the vicinity including the Middle Warren extension contained within the Core Strategy	This is a desirable link which would have benefits but is not critical to ensure the delivery of the Core Strategy.
<b>Easington Road/ Holdforth Road roundabout</b>	Congestion and safety issues, exacerbated due to problematic U turns from people looking to access Jesmond Gardens. Latter phases of Middle Warren, along with potential development on the hospital site will increase congestion further.	Roundabout on Easington Road and Holdforth Road	Possible future LTP contribution  Possible Section 106 contributions  Possible Bus Network Improvements contribution	This is a desirable improvement which would have benefits but is not critical to ensure the delivery of the Core Strategy.
<b>Footpath/ cycleway links/ improvements</b>	Town wide continuous improvements needed to ensure a system is in place which encourages people to travel in a sustainable manner.	Improvements will be sought as part of all new developments where it is feasible to link into an existing route. For larger developments new routes will need to be constructed to link into the network.	Through Section 106 Agreements in relation to developments.  New links will be delivered as part of new developments in particular as an integral part of the south west extension and the site at Wynyard.	These links will be important to ensure the Borough works towards Carbon reduction targets and will be an important aspect in the delivery of the Core Strategy.

NB. The costs of the improvements required are not included within this table as, at present, it is not clear exactly what is needed for each junction. The costs are likely to change over time and detailed designs for each junction will need to be drawn up in conjunction with the developers and other stakeholders.

## **6.0 Education provision**

- 6.1 Hartlepool Borough Council is under a statutory duty to ensure sufficient school places for children and young people resident in the Borough. Changes in education provision will be necessary over time to modernise outdated school buildings and provide for projected changes in population. There are currently 30 primary schools (29 include nursery provision), 1 nursery school, 5 secondaries, 2 special schools and 1 pupil referral unit in Hartlepool.
- 6.2 Under the previous government two programmes were being taken forward, Building Schools for the Future (BSF) and Primary Capital Programme, which would have seen major investment into the schools within Hartlepool. However, given the current financial position of the country, the new coalition government have cancelled these two programmes.
- 6.3 The only secondary school in Hartlepool which will now be fully remodelled under the BSF scheme is Dyke House which was at such an advanced stage that funding was secured. The decision to abandon the other planned works to secondary schools across has major implications for the future of the secondary schools in Hartlepool as many of the schools are in great need of modernisation.
- 6.4 The Primary Capital Programme (PCP) within Hartlepool looked at the future of all Primary Schools within Hartlepool. Public consultation was at the heart of the development of the Primary Capital Programme. Hartlepool received £8.4m in the first phase and this money will be used to build a new primary school to replace the existing school at Jesmond Road with the surplus money being invested in the refurbishment of key aspects of Rossmere Primary School.
- 6.5 Based on current pupil projections the Local Education Authority is confident that there are sufficient secondary school places available across the town to accommodate the expected population growth arising from the proposed housing sites within the Core Strategy. 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 prepares draft proposals and then consults the public on them 18 months prior to a child's admission to school.

- 6.6 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.
- 6.7 On major developments the need for new schooling provision will be determined on a case by case basis and will take into account spare capacity in existing schools. In cases where a new school is to be provided on site, the developer will normally be expected to set aside sufficient land to construct the educational facilities to the Borough Council's design and specification. Developer contributions will also be required towards build costs of new schools or extensions/improvements to existing schools. On assessment of the housing sites contained within the Preferred Options Core Strategy it is considered that only the south west extension will be required to safeguard land for a new primary school. The Borough Council will work with the developer to ensure a suitable site is safeguarded with sufficient space to accommodate the new school. Pupil numbers in the new development will need to be carefully monitored to ensure that if needed the school is brought forward at the appropriate point in time.
- 6.8 Current predictions in relation to the provision of an additional secondary school over the plan period suggest that there are sufficient places available within existing secondary schools to cope with the overall demand from the proposed housing developments across the Borough. It is anticipated that developer contributions will however be needed, along with additional forms of educational funding, to ensure that existing secondary schools receive adequate investment to cope with the additional demands and pressures from developments and to enable the schools near to developments to provide a good standard quality of education for their pupils.
- 6.9 There are currently sufficient Children's Centres in Hartlepool to offer services to all children under 5. The birth rate is constantly monitored to ensure that the number of Children's Centres is appropriate to the under 5 population. The likely direction for Children's Centres in the future is to focus services in areas of need therefore the needs of each individual community will be monitored to ascertain the level of service. It is unlikely that any new development in the south of the town will be identified as disadvantaged therefore it is unlikely there will be a need to focus services in that area, although this position will be kept under review.
- 6.10 Further education provision in Hartlepool has seen major investment over the past few years with the College of Further Education receiving over

£50m for a complete rebuild which will help the College continue to attract pupils from not only Hartlepool but across the Tees Valley and South West Durham. Hartlepool Sixth Form College and the Cleveland College of Art and Design further compliment this post 16 further education offer within the town.

## 7.0 Health provision

- 7.1 The local Primary Care Trusts (Hartlepool and Stockton on Tees Teaching) together with North Tees and Hartlepool Foundation Trust, have been strategically planning investment within the Health system in the local area. A consultation document, Momentum: pathways to care was published on the 2nd June 2008. This looked at provision of facilities within Hartlepool and Stockton and also parts of Durham County.
- 7.2 The main aims of the strategy involve looking at providing health facilities as close to home as possible with only services which need to be provided in hospital taking place there. The strategy looks at a network of facilities located where care can be provided through a home visit, at health centres, at an integrated care centre and in hospitals, and will work within the ethos set out in the 'Putting People First' programme<sup>8</sup> which includes:
- The introduction of personal budgets for those who receive funded care.
  - Reward schemes for high quality care homes, home care and day services.
  - Increased support for older peoples health and well-being.
  - Improved community services.
- 7.3 The document Momentum: pathways to care identified that facilities would be delivered within the area as follows:
- Enhanced provision of services within people's homes.
  - Enhanced GP and health centre services within easy access to local populations
  - The establishment of integrated Health Care Centres in central locations such as the new facility on Park Road in Hartlepool. These centres will contain a variety of services, based on population need. Such centres are expected to include minor surgical facilities, diagnostics and consultant-led out-patient care. They also provide an opportunity for some health, community and social care provision under one roof.
  - A proposed new hospital to serve Hartlepool, Stockton and parts of Easington and Sedgefield.
- 7.4 The hospital proposal, located on the Wynyard Business Park, received planning permission in 2010. However government funding was subsequently withdrawn and this has left the Trust in a position of having to look at the potential scaling back of the plans to reduce costs and

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<sup>8</sup> Putting people first: a shared vision and commitment to the transformation of adult social care – December 2007

identify alternative funding sources. However, whilst delivery mechanisms are still being investigated for the new hospital, it is anticipated that Hartlepool Hospital will remain open, providing a valuable service for the people of the town.

- 7.5 There is a wide range of other health care within the town, including the following:
- One Life Centre on Park Road
  - A GP led Health Centre on Victoria Road
  - 18 other surgeries / medical centres across Hartlepool which provide a wide range of services.
  - 11 dentists practices across the town.
  - 20 pharmacies
  - 9 opticians; and
  - a range of other more specialist facilities currently run by the Hartlepool Primary Care Trust.
- 7.6 A PIONEERING scheme to provide a wide range of health and social care services to people in Hartlepool also looks set to be rolled out across the town. Connected Care works alongside the social enterprise Who Cares (NE) delivering a raft of support services. These include a Benefits and Welfare Advice Service, a Time Bank where people share their skills, a Handyperson Repair service and the Supporting Access to Independent Living Services (SAILS) which provide a range of practical services to assist people who have disabilities or who are vulnerable to live safely in their own homes.
- 7.7 A range of other assistance is on offer including help with meals, shopping, tidying gardens, dog walking, home visits and a call-back / checking service. Last winter, during the severe weather, Connected Care cleared paths and driveways to minimise the risk of people falling on the ice.
- 7.8 Several independent evaluations of Connected Care, including a major review by Durham University, have all been positive and feedback from people using the services is excellent. Connected Care has been funded by the Department of Health (DoH) as a pilot project involving partners including Hartlepool Borough Council, the Primary Health Trust and Housing Hartlepool (a locally registered social housing provider). Work is currently underway with the London School of Economics to complete a cost-benefit exercise in respect of the financial efficiencies that Connected Care can achieve for a whole range of organisations through its early intervention practices. It is hoped that funding will be secured to continue this project in the future across the whole town.

7.9 As the town continues to grow over the coming years it is likely that further health care provision will need to be established in the areas of large new housing development. In particular the south west extension at Claxton is likely to require new health care facilities to be developed as part of the local centre within this development. This will ensure that current services do not become stretched as a result of pressure from the new housing development.



## **8.0 Provision of utilities**

8.1 Throughout the preparation of the Core Strategy various key utility providers have been contacted as part of the ongoing consultation process. It is considered that if an issue or problem related to one of the utilities was of such a scale that it could not be appropriately dealt with as part of the development and would put such costs or constraints on a development as to make it unviable, then that proposal would be taken out of the Core Strategy.

### **Gas and Electric Provision**

8.2 The Energy White Paper<sup>9</sup> makes clear that UK energy systems will undergo a significant change over the next 20 years. To meet the goals of the White Paper it will be necessary to revise and update much of the UK's energy infrastructure during this period. There will be a requirement for:

- An expansion of national infrastructure (e.g. overhead power lines, underground cables, extending substations, new gas pipelines and associated installations).
- New forms of infrastructure (e.g. smaller scale distributed generation, gas storage sites). Transmission pipelines and overhead lines were originally routed in consultation with local planning authorities and designed to avoid major development areas but since installation much development may have taken place near our routes.

8.3 National Grid is required to be consulted on the following issues:

- Any policies relating to overhead transmission lines, underground cables or gas pipeline installations
- Site specific allocations/land use policies affecting sites crossed by overhead lines, underground cables or gas transmission pipelines
- Land use policies/development proposed adjacent to existing high voltage electricity substation sites and gas above ground installations
- Any policies relating to the diverting or undergrounding of overhead transmission lines
- Other policies relating to infrastructure or utility provision
- Policies relating to development in the countryside
- Landscape policies
- Waste and mineral plans

8.4 In addition National Grid also asks to be consulted by developers and local authorities on planning applications, which may affect their assets. The aim in this is to ensure that the safe and secure transportation of electricity and gas is not compromised by new developments.

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<sup>9</sup> The Energy White Paper – Meeting the Energy Challenge – May 2007

### Electricity distribution and transmission

- 8.5 National Grid, as the holder of a licence to transmit electricity under the Electricity Act 1989, has a statutory duty to develop and maintain an efficient, co-ordinated and economical transmission system of electricity and to facilitate competition in the supply and generation of electricity. National Grid operates the national electricity transmission network across Great Britain and owns and maintains the network in England and Wales, providing electricity supplies from generating stations to local distribution companies. National Grid's high voltage electricity system, which operates at 400,000 and 275,000 volts, is made up of approximately 22,000 pylons with an overhead line route length of 4,500 miles, 420 miles of underground cable and 337 substations. Separate regional companies own and operate the electricity distribution networks that comprise overhead lines and cables at 132,000 volts and below. It is the role of these local distribution companies to distribute electricity to homes and businesses.
- 8.6 To facilitate competition in the supply and generation of electricity, National Grid must offer a connection to any proposed generator, major industry or distribution network operator who wishes to generate electricity or requires a high voltage electricity supply. Often proposals for new electricity projects involve transmission reinforcements remote from the generating site, such as new overhead lines or new development at substations. If there are significant demand increases across a local distribution electricity network area then the local network distribution operator may seek reinforcements at an existing substation or a new grid supply point. In addition National Grid may undertake development works at its existing substations to meet changing patterns of generation and supply.
- 8.7 National Grid's high voltage electricity overhead transmission lines / underground cables within Hartlepool Borough Council's administrative area that form an essential part of the electricity transmission network in England and Wales include the following:
- 4TH line – 275kV route from Hartlepool substation in Hartlepool to the ZZA line
  - 4TG line – 275kV route from Hartlepool substation in Hartlepool to the ZZA line
  - YYJ/N line – 400kV route from Norton substation in Stockton on Tees to Saltholme substation in Stockton on Tees
  - ZZA line – 275kV route from Hawthorn Pit substation in Durham to the 4TH and 4TG routes and onto Saltholme substation in Stockton on Tees, via Hartmoor substation in Hartlepool
- 8.8 The following substations are also located within the administrative area of Hartlepool Borough Council:

- Hartmoor substation – 275kV
- Hartlepool substation – 275kV

### Gas Distribution and Transmission

- 8.9 National Grid also owns and operates the high pressure gas transmission system in England, Scotland and Wales that consists of approximately 4,300 miles of pipelines and 26 compressor stations connecting to 8 distribution networks. National Grid has a duty to develop and maintain an efficient co-ordinated and economical transmission system for the conveyance of gas and respond to requests for new gas supplies in certain circumstances.
- 8.10 New gas transmission infrastructure developments (pipelines and associated installations) are periodically required to meet increases in demand and changes in patterns of supply. Developments to the network occur as a result of specific connection requests e.g. power stations, and requests for additional capacity on the network from gas shippers. Generally network developments to provide supplies to the local gas distribution network are as a result of overall demand growth in a region rather than site specific developments.
- 8.11 National Grid does not supply gas, but provides the networks through which it flows. Reinforcements and developments of their local distribution network generally are as a result of overall demand growth in a region rather than site specific developments. A competitive market operates for the connection of new developments.
- 8.12 National Grid has the following gas transmission assets located within the administrative area of Hartlepool Borough Council:
- Pipeline Feeder Detail
- 2471 13 Feeder Cowpen Bewley / Bishop Auckland
- 8.13 Northern Gas Networks owns and operates the local gas distribution network in Hartlepool Borough Council's administrative area.
- 8.14 In relation to the future development of Hartlepool and developments proposed within the Core Strategy Preferred Options Document National Grid highlighted the following specific issues:
- The potential Eco Industrial Zone and safeguarded site for a potential nuclear power station are both in the locality of National Grid's high voltage 4TH and 4TG lines routed via Harlepool substation pass through this area. National Grid do not object to future redevelopment of this area, but made the following comments:  
 “- National Grid does not own the land over which the overhead lines cross, and it obtains the rights from individual landowners to place

equipment on their land. Potential developers of the sites should be aware that it is National Grid policy to retain our existing overhead lines in-situ. Because of the scale, bulk and cost of the transmission equipment required to operate at 400kV National Grid only supports proposals for the relocation of existing high voltage overhead lines where such proposals directly facilitate a major development or infrastructure project of national importance which has been identified as such by central government Therefore we advise developers and planning authorities to take into account the location and nature of existing electricity transmission equipment when planning developments.”

- National Grid prefers that buildings are not built directly beneath its overhead lines. This is for two reasons, the amenity of potential occupiers of properties in the vicinity of lines and because National Grid needs quick and easy access to carry out maintenance of its equipment to ensure that it can be returned to service and be available as part of the national transmission system.
- The statutory safety clearances between overhead lines, the ground, and built structures must not be infringed. To comply with statutory safety clearances the live electricity conductors of National Grid's overhead power lines are designed to be a minimum height above ground.
- National Grid seeks to encourage high quality and well planned development in the vicinity of its high voltage overhead lines. Land beneath and adjacent to the overhead line route should be used to make a positive contribution to the development of the site and can for example be used for nature conservation, open space, landscaping areas or used as a parking court.

### **Provision of Energy from Renewable and Decentralised Sources**

- 8.15 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.

- 8.16 The Energy White Paper<sup>10</sup> 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 renewable energy generation, as set out below:
- At least 10% renewable electricity to be generated from renewable sources by 2010
  - 20% renewable electricity by 2020
  - 40% renewable electricity by 2060
- The planning system must support the delivery of the timetable for reducing carbon emissions from domestic and non-domestic buildings.
- 8.17 The Climate Change Act<sup>11</sup> 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
- 8.18 Inevitably growth and development in the Borough will bring more people into the Borough which could in turn increase CO2 emission through an increase in traffic movements and an increased use of non-renewable resources. To help achieve these ambitious national targets 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 to the extent that they affect the viability of development, however, the ten per cent requirement set is considered an acceptable figure as it may add little cost to overall development costs and can have a significant impact on helping the Borough meet the UK CO2 emissions reduction target.

#### **Infrastructure for Water Provision, Drainage and Sewerage.**

- 8.19 Northumbrian Water Limited (NWL) and Hartlepool Water are the main organisations responsible for this area of infrastructure within the Borough. NWL and Hartlepool Water are both consultees in the development of the Core Strategy. Both companies were also consulted during the preparation of the Strategic Housing Land Availability Assessment (SHLAA)<sup>12</sup> where they made comments in relation to the assessed sites potential to be developed having regard to the infrastructure in the locality to the site.

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<sup>10</sup> Energy White Paper - Meeting the Energy Challenge (2007)

<sup>11</sup> The Climate Change Act (2008)

<sup>12</sup> Hartlepool Strategic Housing Land Availability Assessment (March 2010)

- 8.20 In terms of infrastructure, land should be capable of being adequately served with:
- An adequate water supply system
  - Adequate surface and foul mains drainage
  - Easily accessible Utility Services
- 8.21 Hartlepool Water is responsible for ensuring that the homes and businesses of the town are supplied with clean drinking water from its groundwater network of eighteen boreholes which are connected to treatment works and storage tanks near Dalton Piercy. The company must ensure that the system is capable of meeting peaks in demand and is reliable and as such they operate approximately ten emergency generators to keep the water flowing. The system of water mains is around 700km in length with pipes ranging from 700mm to 50mm in diameter. When new developments happen they will need to link into these existing systems.
- 8.22 In Hartlepool it is the responsibility of NWL to provide the systems and infrastructure to deal with the foul and surface water. The developed areas of Hartlepool have mainly combined sewerage systems dealing with foul and surface water (SW) drainage in the same pipes. The sewerage system is largely pumped by a number of stations and, from a sustainability point of view, the pumping of SW has energy costs and an environmental impact from storm overflows.
- 8.23 In relation to NWL's sewerage capacity in the main settlement and the Core Strategy Preferred Options new housing development "within the urban area on suitable brownfield sites" and the employment locations to be retained to the south of the main urban area, further development in or on the edges of these urban areas will add to the loads on the pumping stations from increased foul flows. Regardless of which preferred options are chosen, NWL have therefore advised that all opportunities should be taken in any new developments in these developed areas of Hartlepool to avoid the discharge of SW to the sewerage system.
- 8.24 However in relation to the expansion westwards NWL has some concerns about the operational water and sewerage infrastructure requirements required to serve these extensions. NWL have acknowledged the preferred locational strategy for these new housing developments and is finalising its review of the proposed location and amount of development in relation to its water and sewerage capacity. Liaison between NWL, the Council and developers will be required at an early stage to establish the future phasing and quantum of development envisaged in the Core Strategy.

- 8.25 In relation to the proposed extensions at Hart and Elwick for housing development, NWL generally support the intention to meet the rural hinterland's future housing needs by focussing small scale development in these two villages. NWL will be consulted on any plans that come forward for these two villages. NWL has also stated that the preferred option will also reduce development pressures in Greatham, which is served by its own small Sewage Treatment Work which has only limited existing capacity. Foul flows from Newton Bewley and Dalton Piercy are pumped to Billingham and Seaton Carew Sewage Treatment Works respectively.
- 8.26 In relation to its sewerage operations, sewage flows from the area of Wynyard north of the A689 and west of Wynyard Business Park the area remains un-serviced by any sewerage infrastructure and would require major investment in order to ensure that any future development in this area are serviced by sewerage infrastructure.
- 8.27 The area of Wynyard south of the A689 road sewage is pumped to Billingham Sewage Treatment Works (STW). Depending on the location of the further 100 new executive dwellings, investment to upgrade the stations may be required.
- 8.28 In respect of water supply, NWL only supply potable water to the Wynyard area of the Borough. Hartlepool Water also supply potable water to part of Wynyard. The existing area supplied by NWL from the Wynyard booster has limited spare capacity. Future residential and employment developments will therefore require major upgrade to the existing potable water infrastructure to supply Wynyard, Wynyard Business Park and/ or North Burn. As a result, NWL requires greater clarity on the intended quantum and phased delivery of future development at Wynyard to allow the Company to assess the longer-term proposals for the Wynyard area more accurately with a view to establishing the level of infrastructure needed to necessitate the future quantum of development and how this investment could be achieved.
- 8.29 NWL has also stated that should proposals to develop an eco-village come forward, potentially including a mix of uses, it is concerned that potential alternative uses for the Wynyard and North Burn employment sites could significantly increase the demand for sewerage and water services than has been allowed for in the current use. NWL has, therefore, requested close liaison at the earliest possible stage to discuss any proposed alternative uses at Wynyard as these will have to be considered carefully in terms of their impact on water and sewerage system capacities. The local authority supports this approach.

## **Nuclear Power**

8.30 Hartlepool has been shortlisted by the Government as a potential location for a new nuclear power station in the future. As such the Council is obliged to safeguard an area of land for this possible future development. Within the Preferred Options stage of the Core Strategy the Council has safeguarded land adjacent to the current Power Station for this possible future development.

8.31 A major development on this scale will clearly bring with it major infrastructure needs which will need to be met by the developer. At present these requirements are difficult to quantify but would be likely to include:

a. Water supply

Sources of water for construction phase and for cooling and other services during operation of the plant should be acceptable from quantity and quality points of view.

b. Power supply

Power supply during construction and operation is often provided through the regional grid and supplemented by standby and emergency power supply systems. Substations are needed to provide the required voltages during the construction and operation phases of the plant.

c. Transport/Access

It will be necessary to survey the access roads and railways to the site in order to determine if the width of the roads, radius of the bends and the clearance under bridges and through tunnels are adequate for the heaviest, widest, longest and tallest pieces of equipment which have to be delivered by road. The location of the Graythorp Dock is likely to be of benefit in the construction of the power station as it is capable of receiving and handling very heavy loads needed to utilize delivery of large equipment by water.

d. Micro earthquake monitoring station

The seismic hazard study determines the maximum ground motion parameters under the largest potential earthquake with sufficiently low probability of occurrence for the site. A number of micro earthquake monitoring stations have to be set up the region of the site for several years in advance of construction to provide data on rock characteristics and attenuation laws. (Given the existence of the current location is this needed?)



e. Meteorological and hydrological station

Site investigation studies require significant meteorological and hydrological data including maximum, basic and mean values for air and seawater temperatures, wind speed and direction, atmospheric pressure, dispersion patterns rainfall, ground water and surface flooding, wave action and tsunamis. Stations for collection and monitoring of this data are required to be put in place for a number of years prior to the approval of the site. (Given the existence of the current location does this already exist?)

f. Coastal Erosion and Flood Defence Improvements

The Seaton Carew Coastal Strategy concludes that the existing defences are not capable of defending the frontage in the future and capital works will be needed prior to construction of this facility.

g. Storage/Disposal of low and medium radioactive waste

At the present time wastes arising from the operations at the power station are dealt with by:

- disposing of low level waste at the Low Level Waste Repository in Cumbria or by high temperature incineration at a facility in Hythe;
- storage of intermediate level waste on site, and
- sending spent fuel to Sellafield, Cumbria for reprocessing.

It is anticipated that waste arising from the operations at a new power station would need to be dealt with at a more local level than at present. Should a new nuclear power station be confirmed at Hartlepool the implications for waste management would be considered at a national level and reflected in a future review of the Minerals and Waste DPD.

h. Spent fuel storage and disposal facilities

In many nuclear plants, the management of spent fuel is carried out in three stages. In the first stage the fuel is stored in pools of water, which are part of the power plant, in order to be cooled off before reprocessing or for transfer to interim storage facilities. In the second stage the spent fuel is either shipped and reprocessed in central facilities (to extract its fissile material for reuse as fuel) or is stored in interim storage facilities within the plant exclusion zone and which are often designed for over 100 years of operational life. The final stage is the permanent disposal of the spent fuel in deep geological formations, which is currently being developed by several countries. The reliability of the interim storage concept provides sufficient time and confidence in the timely commercial deployment of disposal facilities.

i. Special Protection Area (SPA) Mitigation

Given the close proximity of the Teesmouth and Cleveland Coast SPA/RAMSAR the development of the power station may impact adversely on the SPA. If this is the case, mitigation measures will be required.

- 8.32 Over the Core Strategy period it is likely that the existing Nuclear Power Station will need to be decommissioned. This will necessitate infrastructure capable of dealing with the disposal of the materials, both radioactive and non-radioactive, from the existing power station. At this stage British Energy currently anticipate that waste arising from the decommissioning will be dealt with by:
- sending low level wastes to the repository in Cumbria;
  - treating, packaging and storing intermediate level waste on site until a repository becomes available; and
  - storing other radioactive wastes on site until the radioactivity reduces sufficiently for it to be dealt with (e.g. reactor core).

### **Telecommunications**

- 8.33 Broadband Delivery UK (BDUK) has been set up by the Government to deliver the broadband agenda. The aim is for Hartlepool to have superfast broadband connectivity across the whole Borough. Local authorities and Local Enterprise Partnerships (LEPs) are able to bid for funding from BDUK to improve the availability and speed of broadband across the Borough and wider Tees Valley. The government is seeking to ensure that all businesses in Enterprise Zones that need superfast broadband will have access to it.

## 9.0 Green infrastructure

9.1 The provision of green infrastructure in the Borough is an important element in ensuring not only an attractive environment but also in offering health and recreational opportunities for visitors as well as the towns residents. Green infrastructure can range in size from a small piece of green space or a public garden up to recreational routes and larger parks and areas of natural open space which provide valuable habitat for a range of different species of flora and fauna. A Green Infrastructure Supplementary Planning Document (SPD) will be produced which will guide the development of Green Infrastructure in the town over the plan period and which will complement the strategic aims of the Tees Valley Green Infrastructure Strategy<sup>13</sup>. Some of the key areas/projects which will be included within the Hartlepool Green Infrastructure SPD, and which form elements of the Tees Valley Green Infrastructure Strategy are highlighted below.

### Burn Valley Link

9.2 This is a project which would have numerous benefits and which would improve the green infrastructure from the coast through the Burn Valley to Summerhill, Dalton Piercy, Elwick and over the A19 towards the Castle Eden Walkway and Wynyard. The project will involve creating a safe route from the coast, over the main railway line (which would involve re-opening the level crossing) through Burbank and into the Burn Valley.

9.3 A steering group has been formed involving Hartlepool residents, Hartlepool Borough Council and the Environment Agency with the intention of improving the quality, quantity of and access to natural green spaces within the most deprived areas in Hartlepool. The intention is also to improve the environmental quality and landscape value of the town's urban green spaces through habitat creation and restoration thereby creating more 'wild places and natural spaces' within easy reach of the urban populace. By making available green spaces on the urban fringe, it is expected that this would encourage people to 'explore' further-a-field and 'discover' the rural areas that are freely available for visits, using public and permissive rights of way.

9.4 The project will work to restore habitat and combat environmental degradation by primarily rejuvenating a principal area of green space in the centre of town known as the Upper Burn Valley. This will be used as a hub to build community support for further habitat improvements within other natural green spaces in Hartlepool. The project will see the creation and enhancement of habitat through the extension of the Family Wood, general environmental improvements and resurfacing of paths along with

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<sup>13</sup> Tees Valley Green Infrastructure Strategy 2008

- works to the river banks. There are a number of multi-functional benefits of the work within the Burn Valley section of the link as it will enhance biodiversity as well as providing a safer pedestrian and cycle route which will encourage people to exercise and will further enhance the sense of place within the Burn Valley. In economic terms this will allow people from the western areas of the town to access work in the town centre in a sustainable manner.
- 9.5 The Upper Burn Valley will have many uses; in its pre and post rejuvenation stages, opportunities will be given to local people of all backgrounds, ages and abilities to join with the wardens in the delivery of a significant proportion of the soft development/landscaping, on-going maintenance and management of the site. Communities will be given opportunities to gain knowledge, training, qualification and experience to enable them to take ownership of the area, with the intention of them running the site in the future with support from the Local Authority.
  - 9.6 Schools and pre-school groups will be encouraged to visit this and other green spaces for educational, health and recreational purposes, as they will be the future conservation stewards of the borough.
  - 9.7 The structural works to the Burn Valley Gardens are expected to start in early summer 2011. The budget for the project is £485,362.63 this is made up of an Access to nature grant and funding from Hartlepool Borough Council and the Environment Agency.
  - 9.8 As an addition to the core of this project it would be desirable to add some security measures and a car park an additional £100k to £150K would make this possible.
  - 9.9 To the west of the Burn Valley, improvements and a new pedestrian / cycle route are proposed which would improve access opportunities to Summerhill for residents and would have a positive contribution to the success of the leisure/tourism facility. Longer term plans could see Summerhill becoming a 'Cycling Station' with cycle hire and associated facilities.
  - 9.10 It is proposed that the route from Summerhill would continue further west by upgrading the existing public right of ways (PROW) to Dalton Piercy from footpath to Bridleway status (approx £300k) and Elwick through creating a permissive cycle route alongside the footpath (approx £300k). Detailed designs for the schemes to Dalton Piercy are already complete. In the longer term, the route could continue via a multi user bridge crossing over the A19(T) and continue via existing quiet lanes to the Castle Eden Walkway and link south to the business park at Wynyard.

- 9.11 When complete, this infrastructure would create a continuous route between National Cycle Route 1 and Route 14. It would link the coast to the rural area via Hartlepool's urban area, Burn Valley Gardens and Summerhill Woodland Park.

#### Links with Saltholme

- 9.12 Over the past few years Hartlepool has endeavoured to improve its coastal foot and cycle paths with the vision of having an attractive and safe coastal route running the length of the coast. One area where the route needs to be improved is in the south of the town from Seaton Carew down to the boundary with Stockton. This route is seen as critical to offer residents and visitors the opportunity to access Saltholme International Nature Reserve in the south.
- 9.13 It is proposed to develop a network of routes in this area including a route from Greatham Village along an existing public right of way following the Conoco-Philips bund (alignment of route being discussed with INCA and RSPB) to Greatham Creek (approx £300k). A further link could provide a route from Greatham Village to Graythorp and the southern industrial areas, linking with land at Brenda Road / Seaton Walkway (approx £400k). Outline design work is complete for part of this route.
- 9.14 At the southern part of this link where it meets Greatham Creek it is likely that a new pedestrian and cycle bridge may be needed to segregate them from the road traffic – this could possibly be built using the old piers that still exist. However after this point, as you cross into Stockton, the alignment of the route becomes more problematic as the verge along the Tees Road is too narrow to create a footpath/cyclepath. Joint working with Stockton Borough Council and landowners will be needed to plan the route. An initial meeting has taken place between HBC, Stockton BC and a representative from INCA to discuss these issues to ensure that there is co-ordination in the approach.
- 9.15 There would be numerous benefits resulting from this scheme most notably it would create the safe route to Saltholme that currently does not exist given the levels of traffic on Tees Road. It would also have the benefit of enabling the employees of the many industries in this area to travel in a sustainable and safe manner to work.

#### North Hartlepool – Steetley and the coast

- 9.16 Steetley has been derelict now for a number of years and the remains of the industrial site have a major negative impact on the appearance of the area, especially when coming into the town by train or along the coastal access path. The site has a planning permission to create a new housing estate of more than 450 homes.

- 9.17 This project will involve works around the Steetley site and along the coast in both directions. The creation of a coastal access path from the Headland, along the coast, crossing Hartlepool Golf Course and adjacent to the rail line, linking into the Hart to Haswell walkway and Crimdon Dene to the north (approx cost £500k). This route is part of the North Sea Cycle Route and if this section can be completed would create an integral part of the route along the Hartlepool coast line. This route will continue past the Steetley site, with this section being funded through a Section 106 Agreement linked to the development of the site, and will link up with the existing section that runs to the Headland via the lower promenade. A feasibility study has been completed on this route.
- 9.18 Other improvements to the green infrastructure within this area would involve investment into the Nicholson's Field allotments and surrounding area. These works would greatly improve the perception that people have as they enter the town by train. The ongoing development of the North Linnear Park offers a good opportunity to improve the green corridors and spaces within the northern area of town including links to the west of the Central Estate which links the area to the north with Marina Way in the south. The Borough Council is already looking to undertake a tree planting scheme to enhance this area.
- 9.19 In the long term these routes and green spaces would be adopted by Hartlepool Borough Council who would maintain and upgrade them when necessary.

#### Western Greenway Route

- 9.20 This scheme entails the creation of a continuous cycleway/walkway from around the urban/rural fringe of the borough from Hart to Haswell Walkway in the north to Greatham Village in the south. The provision of the entire route would require the delivery of three schemes. The first is to provide a link from the Hart to Haswell Walkway to Hart Village (£500k). The second is to provide a safe link via an underpass crossing of the A179 (approx £100k). The upgrade of existing Public Rights Of Way from Dalton Piercy to Greatham provides the final link (approx £400k). The remainder of the route uses existing highway.

#### Green Infrastructure between the town centre and The Marina

- 9.21 Currently the quality of green infrastructure between the town centre and the Marina is quite poor. The pedestrian routes are also very poor, simply channeling people over the main road bridge at which point there are no clear desire lines or particularly well distinguished routes to access the marina.
- 9.22 This scheme would look at creating attractive and safe green routes which would help to link these two areas in the future. It is considered that

improvements in this area would provide a much more attractive location which in turn would help to attract further inward investment into the town in the future.

- 9.23 HBC commissioned consultants to prepare a Framework for the regeneration of the central areas. Completed in 2008, the Central Areas Investment Framework identifies a range of measures aimed at improving the performance of the town centre. These included the development of an innovation and skills quarter, attractors of new businesses, improvements to the public realm and improving connections between the town centre and surrounding sites, particularly Hartlepool Marina.
- 9.24 These improvements would meet a number of spatial priorities of the Tees Valley GI Strategy in that it will improve integration of the town centre with other commercial and leisure developments within the marina. It is also likely that the works will improve the environment around the rail line in the town centre therefore contributing towards the aims of Hartlepool's Railway Approaches Strategy.
- 9.25 No costs or schemes have currently been drawn up for this area, however it is seen as a priority and, funding permitting, will be implemented within the plan period.

#### Green infrastructure Improvements within the Southern Business Zone

- 9.26 The Southern Business Zone is the industrial corridor of Hartlepool with 15 of the town's 19 industrial/business parks falling in the area. The area is home to approximately 170 companies that employ in the region of 5,000 people. The area is widely considered as the key employment zone of Hartlepool.
- 9.27 The Southern Business Zone covers an area of 176ha. There has been some investment in refurbishing existing properties on some estates due to regeneration schemes i.e. Usworth Road through SRB and Longhill/Sandgate through NDC. However there has been a general lack of investment in the area from both the private and public sectors. This had led to the overall decline of the area in general and provided the basis for the negative perceptions and the other problems such as crime etc.
- 9.28 The Council believes that there is great potential in the Southern Business Zone to create significant additional jobs. Furthermore there is also a belief that improvements to the area will increase the local business stock by significant levels to narrow the gap with the regional and UK average.
- 9.29 It is considered that environmental improvements in the Southern Business Zone would contribute greatly to the green infrastructure within the town and will help to attract further inward investment.

- 9.30 One major piece of green infrastructure proposed within this Southern Business Zone is a new green wedge on the former employment site at Golden Flatts. This site, covering 50 acres, has been included within the Core Strategy as a green wedge at the Preferred Options stage. This area is already grass land and has horses grazing on it although at the moment public access is limited to a couple of informal footpaths. It is considered that this site has the potential, if correctly planned, to reduce flooding risk on adjacent employment sites, making them more easily developable. It is planned that tree planting, ponds, childrens play, public footpaths and car parking will be among the features delivered on this site. It is likely that this will be a project that the Local Authority will look to develop at an early stage of the Core Strategy period and will rely on a variety of sources such as Forestry Commission grants to fund it. Section 106 contributions for green infrastructure over the plan period will also be directed towards the site where there is an identifiable link with the development.
- 9.31 This area would require a range of different elements of new green infrastructure to be developed, some of which includes the links mentioned within the Links to Saltholme section. The Borough Council will endeavour to ensure that new green infrastructure is delivered in this area in association with new developments that come forward over the plan period.

Environmental Improvements to the North Cemetery Green Space.

- 9.32 North Cemetery in Hartlepool is located to the north of the town centre and directly south of the North Central Housing Renewal Area in Hartlepool.
- 9.33 North Cemetery is a large area of green space which covers approximately 12.6 hectares. The whole of the site area is in the ownership of the Borough Council.
- 9.34 The cemetery is of particular value to the local community as it is surrounded by areas of dense terraced housing with few attractive open spaces. However, the cemetery is currently under-utilised as an open space, suffering from a degree of anti social behaviour and a perceived fear of crime which discourages legitimate users.
- 9.35 In the wider context of the site, there are a number of major regeneration works taking place, which are bringing substantial investment to the area. Two major housing regeneration schemes on the north and south boundaries of the Cemetery are being built and a further scheme is planned to the east of the cemetery. Key issues for improving the North Cemetery include:
- community safety,
  - environmental improvements,



- action to improve the biodiversity,
  - boundary treatments,
  - management and long term sustainability,
  - relationship with the surrounding regeneration works,
  - sensitivity around keeping part as a working cemetery whilst encouraging public use, and
  - how the cemetery could be used as an educational resource.
- 9.36 HBC has currently invested £15,000 to create a masterplan to help address the above issues and to ensure that North Cemetery has a multi-functional future. This work has been undertaken in partnership with the Friends of North Cemetery and other community groups.
- 9.37 As part of the masterplan study, a comprehensive public consultation programme was undertaken. This identified considerable opportunities to improve what the site has to offer the community in terms of access, recreation, and biodiversity. Combating anti-social behaviour and improving community safety were also identified as key issues to improve the overall attraction of the cemetery. Issues such as safe access, boundary treatment and visual surveillance in and out of the site were all consultee concerns which have been addressed by the masterplan.
- 9.38 The masterplan proposals include the provision of a more accessible, enhanced green space for the existing community and for the significant area of new housing under development. The proposed access improvements and efforts taken to address security and safety issues will also alleviate public perceptions of ‘fear of crime’, which has a detrimental impact on casual and recreational use of the area. The masterplan has been designed so that individual elements can be phased as funding permits.
- 9.39 In addition, the masterplan proposals seek to protect and enhance site biodiversity and habitat value, both of which will also help make the area more appealing to visitors. Such environmental enhancements, when coupled with access and infrastructure improvements (such as new gateway schemes and footpath rationalisation) will also contribute to the feeling of place in this area, located as it is, within proximity to a number of key regeneration sites.
- 9.40 HBC has also been undertaking work to improve the biodiversity and habitat value of the cemetery over a number of years under the guidance of the Council Ecologist. Completion of the Borough Tree Strategy also highlighted that the existing cemetery woodland cover is all of a similar age, which was likely to be nearing the end of its life in the next 50 years. Tree planting activities using multi-aged replacement stock have, therefore, taken place with local schools. New trees have been planted

within controlled areas where the grass has been allowed to grow, stimulating an increase in biodiversity and species numbers amongst wildlife and wildflowers.

## **10.0 Coastal and Flood Defences**

- 10.1 Planning Policy Statement 25 (PPS25) relates to development and the constraint of flood risk, with its overarching aim of avoiding development in flood risk areas. This is achieved through PPS25 by the sequential approach to land allocation, meaning that development should be firstly avoided in flood risk areas wherever possible before considering the vulnerability of development planned or possible mitigation measures. The sequential approach is governed by two tests; the Sequential and Exceptions Test. The consideration of flood risk to people and development must be considered by the LPA at the earliest stage of spatial planning decisions and these tests allows this process to be transparent and affective.
- 10.2 In order to carry out these tests, a coherent understanding of flood risk is needed at a local level. Strategic Flood Risk Assessments (SFRAs) offer this local level of understanding. A Level 1 SFRA was conducted which provides the foundation of an evidence base of what the flooding issues in Hartlepool are. It was based purely on the collation of existing flood risk information. Hartlepool completed its SFRA in May 2010.
- 10.3 A SFRA level 2 was commissioned to look at the implications for flood risk in more detail in sites identified as being in areas of high flood risk. 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 Oakesway Industrial Estate sites. The Level 2 SFRA has also undertaken a more detailed assessment and confirmation of Critical Drainage Areas (CDAs).
- 10.4 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 including Seaton Carew and Oakesway. It will also form part of the basis of a future surface water management plan.

### **Coast Protection Studies – Seaton Carew**

#### Shoreline Management Plan

- 10.5 In 2007 a second generation Shoreline Management Plan (SMP2) was produced for the North East Coastal Region covering the length of coastline from the River Tyne to Flamborough Head. This plan built on and developed the original SMP which was adopted by HBC in 1999. These plans provide a high level assessment of the risks associated with coastal evolution and present a policy framework for the future. A major aim of the plan is to reduce the threat of flooding and coastal erosion to

people and their property and make prioritised recommendations for more detailed Strategy Studies.

#### Seaton Carew Coastal Strategy Study

- 10.6 An outcome of the SMP 2 is the ongoing development of an Environment Agency funded, 'in depth' Strategy Study covering the coastline from Newburn Bridge to the Tees Estuary. During the early stages of the production of this study it became obvious that urgent works were required for the portion of coastline fronting the northern end of Seaton Carew. A detailed report was produced and submitted to the Environment Agency who granted funding of circa £1.6M for the construction works to upgrade these sea defences.
- 10.7 A further report is in the process of production to attempt to secure funding for the second phase of works from Station Lane to the Coach Park in Seaton Carew. The anticipated costs will be circa £4M.
- 10.8 Subject to the outcomes of the Strategy Study further reports will be produced to attempt to secure funding for any additional works required to the frontage to the south of Seaton Carew.

#### Headland Strategy Study Review

- 10.9 The Council are currently in the process of reviewing the coastal strategy developed in 2000 covering the frontage from Crimdon down to Newburn Bridge. This review commenced in Jan 2011 and is due to last 1 year. It is expected that the study will produce a management plan for coastal and flood defence into the future which will identify short term priorities for capital works over the frontage.

#### **Hartlepool Surface Water Management Plan (SWMP)**

- 10.10 In March 2010, DEFRA published the 'Surface Water Management Plan Technical Guidance'. This publication takes into account the findings from the six DEFRA funded first generation SWMP's and is aimed at steering local authorities towards meeting the requirements of both the Floods and Water Management Act and the Flood Risk Regulations based on the recommendations presented within the Pitt Review.
- 10.11 After the submission of an Early Action Bid, HBC were successfully awarded DEFRA grant funding to develop the Surface Water Management Plan. Consultants have been commissioned to undertake the Surface Water Management Plan; and it is anticipated that the study will be completed in late autumn 2011. The PFRA (Preliminary Flood Risk Assessment) is now complete and concludes that there are no significant risk areas within Hartlepool and therefore Hazard and Risk Maps and Management Plans are not required. This report is with the EA to be

forwarded to Europe and a report discussing the conclusions will be presented to Cabinet shortly.

- 10.12 The Surface Water Management Plan for Hartlepool will provide an understanding of the mechanisms of surface water flooding and propose mitigation measures, which can provide the evidence base to fulfil the requirement for Flood Risk Management Plans under the Flood Risk Regulations (2009).

## 11.0 Landfill and Waste

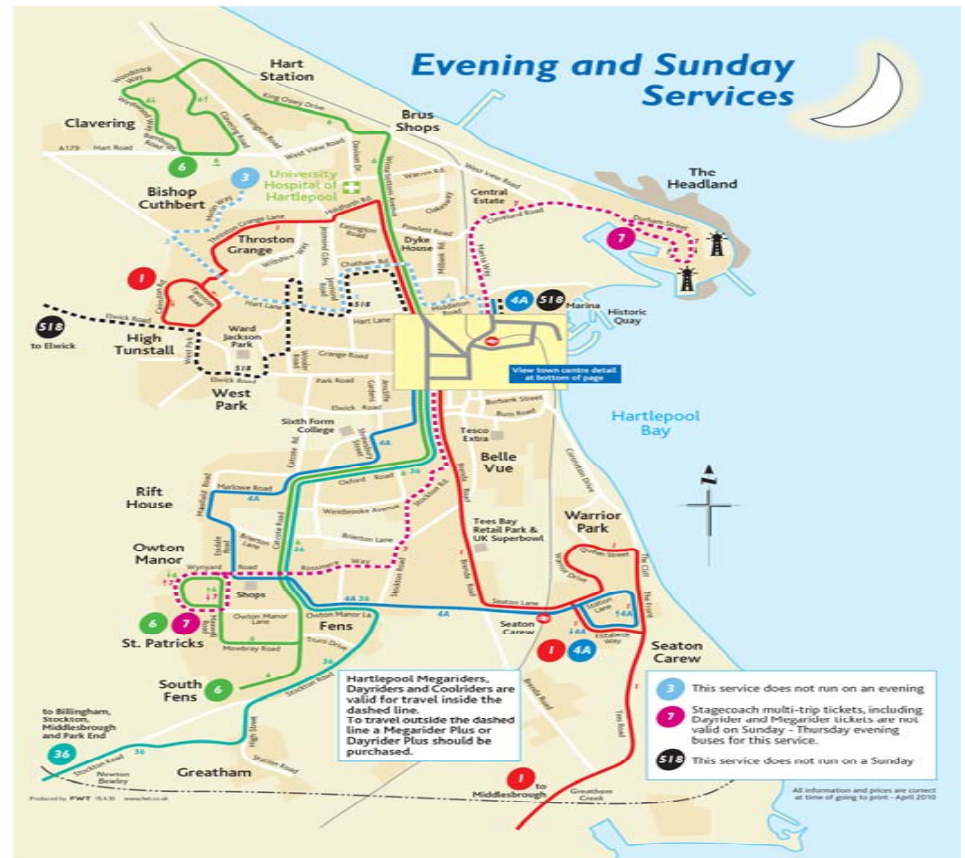
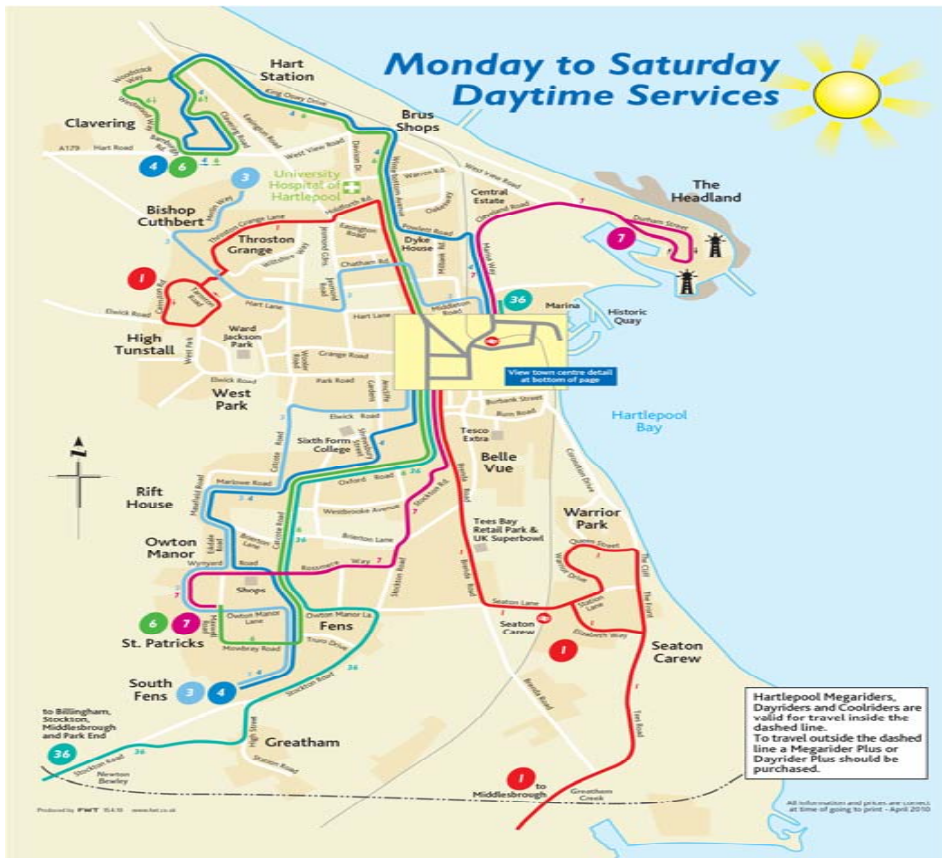
11.1 The Joint Tees Valley Minerals and Waste DPD's set out the spatial planning framework for guiding the development of minerals and waste facilities and operations. They have been prepared jointly by the five Tees Valley authorities and are expected to be adopted in September 2011. These DPDs cover all issues relating to landfill and waste in relation to the Borough development plan.

11.2 The Minerals and Waste DPDs comprise:

- (i) Joint Minerals and Waste **Core Strategy** Development Plan Document, which comprises the long-term spatial vision and overarching primary policies needed to achieve the strategic objectives containing the overall strategy and generic development policies for minerals and waste developments in the Tees Valley. The Core Strategy DPD will provide a coherent spatial strategy until 2026;
- (ii) Joint Minerals and Waste **Policies and Sites** Development Plan Document with Proposals Map. This will identify specific minerals and waste sites and provide a Valley Joint Minerals and Waste Core Strategy.

11.3 An 'Infrastructure Strategy' was prepared as a background evidence paper (No 7) in May 2010 . This demonstrates how existing and planned infrastructure, such as roads and railways, will be able to accommodate anticipated minerals and waste developments over the plan period.





## 2 how often around the town

1	Mon - Sat daytimes	every 10 mins
1	Mon - Sun evenings	every 60 mins
1	Sunday daytimes	every 30 mins
Between Seaton Carew and Middlesbrough, Service 1 buses run every 30 minutes during Monday to Saturday daytimes, and hourly during evening and Sundays.		
3	Mon - Sat daytimes	every 30 mins
3	Sunday daytimes	every 60 mins
Sunday service is between Bishop Cuthbert, Dyke House, Marina and the Town Centre only.		
4	Mon - Sat daytimes	every 30 mins
4	Mon - Sat evenings	every 60 mins
4	Sundays	every 60 mins
Evening and Sunday is Service 4A only, between Seaton Carew and the Marina. Between South Fens, Rift House, the Town Centre and the Marina, Services 3 and 4 combine to provide a bus every 15 minutes during Monday to Saturday daytimes.		
6	Mon - Sat daytimes	every 10 mins
6	Mon - Sat evenings	every 20 mins
6	Sundays	every 20 mins
Evening and Sunday buses serve Owton Manor twice an hour and South Fens every 20 minutes.		
7	Mon - Sat daytimes	every 10 mins
7	Mon - Sun evenings	every 30 mins*
7	Sunday daytimes	every 20 mins
* Please note that Sunday to Thursday evening buses are operated by another bus company, and Stagecoach travel tickets and travellers are not valid on these journeys. Friday and Saturday evening buses are operated by Stagecoach.		
36	Mon - Sat daytimes	every 15 mins
36	Mon - Sat evenings	every 30 mins
36	Sundays	every 30 mins
Evening buses do not serve Hartlepool Marina.		
518	Mon - Sat evenings	every 60 mins

## 4 where to catch your bus in the town centre

Routes	Destinations	Stopping at
1	High Tunstall Seaton Carew & Middlesbrough	A B C D E F G H I J K L M N O P Q R S T U V W X Y Z
3	Bishop Cuthbert Rift House and South Fens	A F H I Q R S T U V W X Y Z
3	Sundays Bishop Cuthbert	A B H O R
4	Clavinging Rift House and South Fens	A F H I Q R S T U V W X Y Z
4A & Sundays	Owton Avenue Owton Manor & Seaton Carew	A B C D E F G H I J K L M N O P Q R S T U V W X Y Z
6	Clavinging Owton Manor	A B C E
6	Clavinging South Fens & Owton Manor	A B C E F
7	Headland Owton Manor	A G Q R S T U V W X Y Z
36	Marina Stockton & Middlesbrough	A F H I Q R S T U V W X Y Z
36	Town Centre Stockton & Middlesbrough	I T P K
518	Maritime Avenue Elwick	C E H I Q R S T U V W X Y Z



## Appendix 2 – Major Bus Scheme – Infrastructure Register including costs



### Infrastructure Register - Final

Ref	Services	Issue	Proposed Solution	Drawing Ref	Total Scheme Cost	Construction	Land	Fees	Contingencies	Total Local Contribution	Cost to DfT	Estimated Benefit Value	Proposed Year of Implementation
H1a/b	1, 2/3/4, 6, 7, 36	York Road (Lister Street to Burn Valley Roundabout) - access for buses affected by general traffic. Variable delay caused by traffic congestion	Carriageway widening, car parking lay-bys, footway improvements and short lengths of bus lane	PR289/H10-12/001	£934,643.00	£765,300.00	£0.00	£119,343.00	£50,000.00	£143,428.00	£791,215.00	3	2
H1c	1, 2/3/4, 6, 7, 36	York Road (Park Road to Lister Street) - access for buses affected by general traffic. Variable delay caused by traffic congestion	Carriageway widening, car parking and bus stop lay-bys and footway improvements	PR289/H10-12/001	£758,572.00	£645,073.00	£0.00	£62,142.00	£51,357.00	£758,572.00	£0.00	3	0
H1d	1, 2/3/4, 6, 7, 36	York Road (Victoria Road to Park Road) - access for buses affected by general traffic. Variable delay due to congestion	Consolidate bus waiting facilities and restrict through traffic to buses and taxis only - further modelling and enhanced stop capacity required. Microsimulation model to be developed and junction capacity to be examined	PR289/H13/001	£499,402.00	£410,540.00	£0.00	£43,462.00	£45,400.00	£0.00	£499,402.00	5	2
H1e	6	York Road (Raby Road to Victoria Road) - variable delay due to traffic congestion. Location of bus stop affects Victoria Road junction	Bus lanes, parking laybys and footway/carriageway improvements. Relocate bus stop away from junction	Not yet available	£550,000.00	£450,000.00	£0.00	£50,000.00	£50,000.00	£0.00	£550,000.00	4	3
H1f	1, 7, 36	Victoria Road (York Road to Stockton Street) - access for buses affected by general traffic. Variable delay due to congestion	Bus lanes, parking laybys and footway/carriageway improvements	Not yet available	£550,000.00	£450,000.00	£0.00	£50,000.00	£50,000.00	£250,000.00	£300,000.00	5	3
H7	7, 36	Variable delay on Marina Gateway due to heavy congestion. Congestion at Stockton Street / Marina Gateway junction	Traffic signals improvements and prohibition of right turn into Clarence Road using widened central reservation, with Museum Road reverting to two-way operation	PR289/H16/001	£38,696.00	£30,162.00	£0.00	£5,016.00	£3,518.00	£0.00	£38,696.00	3	1
H9	1, 6, 7, 36	Conflicting movements at Burn Valley Roundabout introduce variable delay	Convert roundabout to signalised junction, subject to detailed modelling, with enhanced pedestrian facilities, bus priority and linked into SCOOT	Not yet available	£700,000.00	£600,000.00	£0.00	£50,000.00	£50,000.00	£250,000.00	£450,000.00	3	3
H10	6, 36	Alignment of Oxford Road / Stockton Road junction makes left turn difficult for buses	Junction improvement to ease turning movement. Pull back southbound stop line to create additional space for left turning buses	PR289/H8/001	£250,097.00	£202,117.00	£0.00	£25,244.00	£22,736.00	£0.00	£250,097.00	2	2
H11	2/3/4, 6, 36	On-street parking restricts access to stops and ease of movement on Oxford Road	Improvements to and extension of existing scheme. Parking to be rationalised and restricted to north side of road only with bus boarders and refuges to prevent overtaking. Cost to be confirmed	Not yet available	£10,000.00	£9,000.00	£0.00	£500.00	£500.00	£10,000.00	£0.00	3	2
H12	2/3/4, 6, 36	Variable delays due to alignment of Oxford Road / Catcote Road junction affecting turning movements	Signalise with bus priority and pedestrian crossings on all arms (replacing existing zebra and pelican crossings). Enforce existing parking restrictions	PR289/H7/001	£502,643.00	£408,025.00	£0.00	£48,923.00	£45,695.00	£0.00	£502,643.00	3	1
H13	1, 7	Issues and problems associated with parking at northern end of Brenda Road and the Stockton Road approach to Brenda Road from the south west	Formalise and restrict parking	Not yet available	£24,000.00	£20,000.00	£0.00	£2,000.00	£2,000.00	£0.00	£24,000.00	2	1
H14	1	Variable junction delay due to conflicting movements at Brenda Road / Belle Vue Way roundabout	Provide left turn lanes and bus lanes on Brenda Road approaches (northbound from Usworth Road) with widening to permit two lane southbound exit from roundabout	PR289/H25/001	£350,000.00	£290,000.00	£0.00	£30,000.00	£30,000.00	£0.00	£350,000.00	3	3
H15	1, 6	Variable delays for buses on Raby Road crossing Hart Lane / Middleton Road junction	Implement bus priority at existing signals	N/A	£3,482.00	£3,482.00	£0.00	£0.00	£0.00	£0.00	£3,482.00	3	1
H17	1, 6	Variable delay caused by congestion at key junction of Winterbottom Avenue with Holdforth Road	Relocate southbound bus stop	Not yet available	£12,000.00	£10,000.00	£0.00	£1,000.00	£1,000.00	£0.00	£12,000.00	1	1
H18	1	Pedestrian access to bus stops at University Hospital of Hartlepool, parking is also an issue	Improve bus stop facilities	Not yet available	£12,000.00	£10,000.00	£0.00	£1,000.00	£1,000.00	£12,000.00	£0.00	1	1
H19	1	Access to bus stops and parking in general around Throston Grange	Additional and enhanced parking bays to be provided	Not yet available	£30,000.00	£27,000.00	£0.00	£1,500.00	£1,500.00	£15,000.00	£15,000.00	2	2
H20	1	Variable delays crossing Hart Lane, between Wiltshire Way and Tarnston Road	Add bus priority to new signals	N/A	£3,482.00	£3,482.00	£0.00	£0.00	£0.00	£0.00	£3,482.00	2	1
H21	1, 6	Parking issues affecting access to bus stops and ease of movement in Winterbottom Avenue	Formalise parking with bus stop boarders	Not yet available	£15,000.00	£13,000.00	£0.00	£1,000.00	£1,000.00	£7,500.00	£7,500.00	2	2
H22	6	Parking issues affecting access to bus stops and ease of movement in Clavering Road	Provide parking laybys	Not yet available	£100,000.00	£90,000.00	£0.00	£5,000.00	£5,000.00	£25,000.00	£75,000.00	2	2
H30	6	Tight junction radius at King Oswy Drive / West View Road means buses must cross centre line of West View Road or cut across verge when turning left	Widen junction for left turning vehicles, with bus by-pass leading directly into integrated bus layby at eastbound stop	PR289/H23/001	£112,009.00	£89,530.00	£0.00	£12,296.00	£10,183.00	£0.00	£112,009.00	2	2
H32	7	Parking in Northgate, particularly outside shops, causes congestion and delays buses	Traffic management measures and relocation of bus stops	Not yet available	£100,000.00	£90,000.00	£0.00	£5,000.00	£5,000.00	£40,000.00	£60,000.00	3	2
H33	2/3/4, 6, 7, 36	Narrow junction of Wynyard Road and Catcote Road causes congestion and delays buses	Widen junction to create dedicated westbound right turn lane	PR289/H5/001	£193,712.00	£156,145.00	£0.00	£19,957.00	£17,610.00	£0.00	£193,712.00	3	1
H34	7, 36	Narrow junction of Owton Manor Lane and Catcote Road causes congestion and delays buses	Both sides of junction widened to create separate left and right turn lanes on approaches	PR289/H4/001 & PR289/H4/002	£297,731.97	£248,227.00	£0.00	£29,504.97	£20,000.00	£0.00	£297,731.97	3	2
H35b	2/3/4, 6	Narrow junction of Mowbray Road and Catcote Road causes congestion and delays buses	Widen and realign junction, without change of priority, and provide parking bays to ensure Catcote Road southbound carriageway is kept clear	PR289/H1/001	£145,647.00	£116,956.00	£0.00	£15,450.00	£13,241.00	£0.00	£145,647.00	2	1
H36	1	Bus turning circle in Elizabeth Way often blocked by buses laying over and other parked vehicles	Remodel turning circle to enable buses to pass those laying over. Restrict and enforce parking	PR289/H28/001	£44,366.00	£31,270.00	£0.00	£8,096.00	£5,000.00	£10,000.00	£34,366.00	2	2
H37	2/3/4, 6	Catcote Road / Truro Drive - narrow junction causes congestion and delays buses	Widen southern side of junction to create dedicated right turn lane	PR289/H2/001	£118,113.00	£93,610.00	£0.00	£13,765.00	£10,738.00	£0.00	£118,113.00	1	1
H40	-	Church Square Terminus - turning circle for buses affected by general traffic. Variable delay, due to congestion, and poor interchange with rail services	Construction of new interchange facility adjacent to the railway station with turning facility for buses. Land acquired	HT1-G-00-01	£2,770,000.00	£2,170,000.00	£200,000.00	£200,000.00	£200,000.00	£2,470,000.00	£300,000.00	2	1
H44	1, 6	Raby Road / York Road - variable delay caused by congestion at junction	Raby Road northbound approach to junction widened to create separate left and right turn lanes. Relocation of northbound Odeon bus stop into lay-by and cost to be revisited	PR289/H30/001	£61,655.00	£50,500.00	£0.00	£5,550.00	£5,605.00	£0.00	£61,655.00	1	1

## Appendix 3 – LTP3 Network Improvements

Area	Scheme	Total Local Contribution	Years
York Road	Carriageway widening, footway improvements, short lengths of bus lanes, parking lay-bys, relocation of bus stop, consolidate bus waiting facilities and potential restriction of traffic between Victoria Road and Park Road. Microsimulation model to be developed and junction capacity examined	£902,000	0-3
Victoria Road (York Road to Stockton Street)	Bus lanes, parking laybys and footway/carriageway improvements	£250,000	3
Marina Gateway junction	Heavy congestion at Marina Gateway junction to be tackled with traffic signal improvements and prohibition of right turn into Clarence Road using widened central reservation, with Museum Road reverting to two-way operation	N/A, receiving funding from DfT	1
Burn Valley Roundabout	There are currently conflicting movements at this roundabout which will be tackled by converting the roundabout to a signalised junction, subject to detailed modelling with enhanced pedestrian facilities, bus priorities and linked to SCOOT	£250,000	3
Oxford Road/Stockton Road junction	The existing alignment makes the left turn difficult for buses – junction improvement will ease this	N/A, funding from DfT	2
Raby Road crossing Hart Lane/Middleton Road junction	There are variable delays for buses at this junction and it is proposed to implement bus priority at existing signals	N/A	1
Junction of Winterbottom Avenue with Holdforth Road	Variable delays caused by congestion so the southbound bus stop to be relocated	N/A	1
University Hospital of Hartlepool	There are pedestrian access issues to the bus stops at the Hospital, so it is intended to improve bus stop facilities	£12, 000	3
Throston Grange	There are access issues to bus stops and parking and additional enhanced parking bays will be provided	£15,000	2

Hart Lane	There are variable delays crossing Hart Lane between Wiltshire Way and Tarnston Road it is intended to add bus priority to the new signals	N/A	1
Winterbottom Avenue	Parking issues affect access to bus stops so parking will be formalised	£7,500	2
Clavering Road	Parking issues affect access to bus stops and ease of movement in Clavering Road	£25,000	2
King Oswy Drive/West View Road	Tight junction means difficulty for buses crossing centre line. It is intended to widen junction for left turning vehicles with bus by-pass leading directly into integrated bus layby at eastbound stop	N/A	1
Northgate	Parking in Northgate causes congestion and delays buses. Traffic management measures are needed to combat this and also the relocation of bus stops	£40,000	2
Wynyard Road and Catcote Road	The narrow junction causes congestion and delays buses, it is intended to widen the junction to create a dedicated westbound right turn lane	N/A	1
Owton Manor Lane and Catcote Road junction	This is a narrow junction which will be widened to create separate left and right turn lane approaches	N/A	2
Mowbray Road and Catcote Road	This is a narrow junction which will be widened and realigned, without change of priority and parking bays will be provided to ensure the southbound carriageway of Catcote Road is kept clear	N/A	1
Elizabeth Way	Bus turning circle is frequently blocked it will be remodelled and parking will be restricted and enforced	£10,000	1
Catcote/Truro Drive	This is a narrow junction which will be widened on the southern side to create a dedicated right turn lane	N/A	1
Church Square Terminus	Turning circle for buses affected by general traffic. Construction of a new facility adjacent to the railway station with turning facility for buses	£2.4m	0-1
Raby Road/York Road	There are variable delays caused by congestion at the junction. Raby Road	N/A	1

	northbound approach to junction widened to create separate left and right turn lanes. Relocation of northbound Odeon bus stop into layby and cost to be revisited		
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# CABINET REPORT

15 August 2011



**Report of:** Director of Child and Adult Services

**Subject:** Hartlepool Shadow Health and Wellbeing Board

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**1. SUMMARY**

1.1 This paper is to inform Cabinet regarding the issues in establishing a shadow Health and Wellbeing Board in Hartlepool.

**2. PURPOSE OF REPORT**

2.1 The report is intended to inform Cabinet of the policy background of the NHS reform that requires each Council to establish a Health and Wellbeing Board. The paper will highlight the issues associated with this and make recommendations as to how to establish a shadow board.

**3. SUMMARY OF CONTENTS**

3.1 The paper will outline the policy background requiring areas to establish Health and Wellbeing Boards; the remit of the board and issues in establishing a board including membership. The paper will also propose a terms of reference for the Board and governance arrangements as well as a timetable for implementation.

**4. RELEVANCE TO CABINET**

4.1 Health and Wellbeing is a key priority for the town and of interest therefore to the Cabinet.

**5. TYPE OF DECISION**

Non-Key.

**6. DECISION-MAKING ROUTE**

Cabinet on 15 August 2011.

## 7. DECISION REQUIRED

- 7.1 It is recommended that Cabinet agree the following recommendations:
- i. It is recommended Cabinet consider and comment on the issues outlined in section 3.
  - ii. It is recommended that Cabinet note that Health and Wellbeing Boards will be able to 'discharge executive functions of the Local Authority and offer a view as to how this should be progressed in Hartlepool.
  - iii. It is recommended that Cabinet note that elected members can be members of the Health and Wellbeing Board.
  - iv. It is recommended that Cabinet offer a view as to whether the elected members on the shadow Health and Wellbeing Board are the Executive Members of the Local Authority. This is recommended as the Health and Wellbeing Board will be able to 'discharge executive functions of the Local Authority'.
  - v. It is recommended that in the light of the above, the elected Mayor is Chair of the Shadow Health and Wellbeing Board for the first year.
  - vi. It is recommended that Cabinet note the development of the Shadow Health and Wellbeing Board in the light of the reviewed of the Local Strategic Partnership arrangements.
  - vii. It is recommended that Cabinet note the proposed draft terms of reference and agrees that a shadow Health and Wellbeing Board is established by the end of September 2011, supported by Democratic Services.
  - viii. It is recommended that Cabinet receive a further report in respect of the establishment of the formal Health and Wellbeing Board when the requirements have been fully established and full guidance is available.
  - xi. It is recommended that given the potential constitutional implications of establishing a Health and Wellbeing Board that this issue is referred to Constitutional Working Group.

**Report of:** Director of Child and Adult Services

**Subject:** Hartlepool Shadow Health and Wellbeing Board

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## **1. INTRODUCTION**

- 1.1 The purpose of this paper is to inform Cabinet of the development of the shadow Hartlepool Health and Wellbeing Board. The paper will outline the policy background requiring areas to establish Health and Wellbeing Boards; the remit of the Board and issues in establishing a board including membership.
- 1.2 The paper will also propose terms of reference and governance arrangements for the Hartlepool shadow Health and Wellbeing Board and a timetable for implementation.

## **2. POLICY BACKGROUND FOR HEALTH AND WELLBEING BOARDS**

- 2.1 In July 2010, the National Health Service white paper 'Equity and Excellence: Liberating the NHS' set out a new direction for the NHS. The NHS white paper is radical and far reaching proposing significant changes to the current arrangements for commissioning, providing and performance managing NHS services. The white paper proposes establishing Clinical Commissioning Consortia and abolishing Primary Care Trusts (PCTs). It also proposes that responsibility for public health should transfer from PCTs to the Local Authority and a newly created national body 'Public Health England'. The white paper places a requirement on Local Authorities to assume new responsibilities in relation to health services, public health and health improvement and proposes a key vehicle for delivering in this is through the creation of statutory Health and Wellbeing Boards.
- 2.2 The Health and Social Care Bill that would enable the proposals to be enacted is currently going through the parliamentary process. However, since the NHS white paper was published and consultation process completed, a further 'listening exercise' and an opportunity to 'pause' and reflect on the plans has been undertaken led by the 'NHS Future Forum' who offered independent recommendations based on a wide consultation with NHS staff and the public to the Government. Following this, further recommendations have been accepted by the Government in relation to Health and Wellbeing Board.
- 2.3 In November 2011, the Government published 'Healthy Lives, Healthy People: Our Strategy for Public Health in England'. This paper set out the vision for the future of public health moving forward under Local Authority leadership with a Director of Public Health jointly with Public Health England. This white paper also proposed that as part of the new public health system based on strong local and national leadership, that each Local Authority unitary or upper tier authority should establish a Health and Wellbeing Board.

- 2.4 In the light of the above, there have been initial discussions with key people and agencies across Hartlepool regarding how to establish a Health and Wellbeing Board. Following these discussions and emerging national guidance, the remit of the Board and the issues associated with establishing the Board will be considered in section 3.

### **3. REMIT OF THE HEALTH AND WELLBEING BOARD AND KEY ISSUES**

- 3.1 The remit of the Health and Wellbeing Board as outlined in the public health white paper and subsequent Government response to the 'NHS Future's Forum is as follows:-

- Statutory board bringing together the key NHS, public health and social care leaders to work in partnership to improve the health of the population.
- Establish a shared local view about the needs of the community based on the Joint Strategic Needs Assessment (JSNA) and support joint commissioning of NHS, social care and public health services.
- Develop a Health and Wellbeing Strategy and commissioning plans based on the JSNA for the area.
- Promote better use of resources across agencies and to further integrate health with adult social care, children's services and wider services.
- Have a "formal role in authorising clinical commissioning groups" and have input into annual assessments of the groups, which will be carried out by the NHS Commissioning Board.
- Be able to refer any commissioning plans they feel are not in line with local health and wellbeing strategies to the NHS Commissioning Board (but will not have the power of veto).
- Have a new duty to involve users and the public as part of the structure supporting the Health and Wellbeing Board.
- As the Health and Wellbeing Board "discharges executive functions of local authorities", it should operate as equivalent executive bodies do in local government. It will be for local authorities to determine the precise number of elected members on a Health and Wellbeing Board, and they will be free to insist upon having a majority of elected councillors".
- Be 'the vehicle for lead commissioning' for particular services, for example social care for people with long-term conditions – with pooled budgets and joint commissioning arrangements where the relevant functions are delegated to them.

- 3.2 Key issues to be considered as part of the process of establishing the shadow Health and Wellbeing Board include:



- Developing and agreeing terms of reference for the Hartlepool shadow Health and Wellbeing Board with the Local Authority Cabinet, Primary Care Trust Board and Clinical Commissioning Group.
- Agreeing effective mechanisms for ensuring appropriate commissioner and provider engagement.
- Agreeing how the shadow Health and Wellbeing Board should be established in the light of the Local Strategic Partnership Review.
- Agreeing how the shadow Health and Wellbeing Board develops relationships with other partnerships such as the Safer Hartlepool Partnership, Safeguarding Board and Children's Partnership.
- Ensuring the governance arrangements and any constitutional changes required for the Board will be sufficient for assuming committee status within the Council.
- Agreeing decision making processes of the shadow Board e.g. voting and majority representation.
- Agreeing performance management processes and how the shadow Board will be held to account to delivering on targets and outcomes.
- Ensuring robust engagement of all stakeholders and how this will be sustained over time.
- Ensuring a positive relationship with existing Health Overview and Scrutiny arrangements.
- Ensuring shadow Board meetings are held in public and that the public are made aware of the activities of the Board.
- Supporting the role of Health Watch and participation as full members of the shadow Board.
- Ensuring the shadow Board members are provided with development opportunities to gain a greater understanding of each partner agencies agenda and issues.
- Agreeing how each organisation commissioning cycles, plans and priorities are integrated into the work of the shadow Board.
- Ensuring that the joint strategic needs assessment is an integral part of the process for setting joint commissioning priorities.
- Create a robust, reciprocal relationship with the Clinical Commissioning Group (CCG) to ensure there are positive challenges of the CCG plans by the shadow Health and Wellbeing Board; and in reverse the CCG constructively challenges the work of the shadow Health and Wellbeing Board.
- Relationship between the shadow Health and Wellbeing Board and Local Safeguarding Board.

#### **4. MEMBERSHIP**

- 4.1 'Health People, Healthy Lives' (2010) proposed the following minimum membership:

Elected representatives  
 Representatives of Clinical Commissioning Group  
 Director of Public Health  
 Director of Child and Adult Social Services  
 Member of Health Watch Board  
 Participation of the NHS commissioning Board

- 4.2 The Government response to the NHS Future Forums recommendations is that it will be for local authorities to determine the precise number of elected members on a health and wellbeing board, and they will be free to insist upon having a majority of elected councillors.
- 4.3 Given that the Health and Wellbeing Board will in the fullness of time be able to 'discharge executive functions of the Local Authority', it could be argued that the elected members on the shadow Health and Wellbeing Board should be the Executive Members of the Council.
- 4.3 In other areas, the emerging view is the Elected Mayor or Chief Executive of the Local Authority should be the chair of the shadow Board in the first instance, given the prominence of the Board in the Local Authority.

### **Scrutiny**

- 4.4 Members of shadow Health and Wellbeing Boards will be subject to oversight and scrutiny by the existing statutory structures for the overview and scrutiny of local authority or health functions. The existing statutory powers of local authority overview and scrutiny functions will continue to apply. In line with the principles of the Localism Bill, local authorities will have greater discretion over how to exercise their health scrutiny powers.
- 4.5 The Government is already taking action to extend local authority health scrutiny powers to facilitate effective scrutiny of any provider of any NHS-funded service, as well as any NHS commissioner. Local authorities will also still be able to challenge any proposals for the substantial reconfiguration of services, and the Government's four tests for assessing service reconfigurations will be retained. Proposals for reconfiguration will need to continue to demonstrate:
- i. support from clinical commissioning groups;
  - ii. strengthened public and patient engagement;
  - iii. clarity on the clinical evidence base; and
  - iv. consistency with current and prospective patient choice.

## **5. PROPOSAL FOR THE HARTLEPOOL SHADOW HEALTH AND WELLBEING BOARD**

- 5.1 The existing Health and Wellbeing Partnership met on 6 April to consider the direction of travel and future arrangements. It was recognised that the existing Health and Wellbeing Partnership has worked well and has engagement from a number of key partners, but also that the arrangements

needed to change to meet the new agenda. It was felt to be very positive that there was engagement from the developing GP Commissioning Consortia as well as the two NHS Foundation Trusts and good partnership working with Hartlepool LInK.

- 5.2 Over recent weeks, there has been much debate regarding the review of the Local Strategic Partnership arrangements and how the shadow Health and Wellbeing Board is part of the new partnership arrangements. However, during this process, the Government published the NHS Future Forums response the recommendations of the Forum. The response includes the shadow Health and Wellbeing Board being able to 'discharge executive functions of the local authorities'. This is a significant addition to the proposals for Health and Wellbeing Boards since the meeting on 6 April. Therefore the implications of this require significant thought as to how this might work in Hartlepool and the constitutional implications for the Local Authority.
- 5.3 Given that Hartlepool is a pathfinder for Health and Wellbeing Boards, there is regional interest in the progress being made to establish the Board. There is a regional assurance framework to assist in tracking progress of all pathfinder authorities. In order to continue to deliver against expected milestones, there will need to be a meeting of a shadow Health and Wellbeing Board by end of September 2011. The shadow Board will then be able to work through all of the issues outlined in section 3 of this report in greater detail. The shadow Board will also need to consider the sub groups and infrastructure to support the delivery of the strategy.
- 5.4 At its meeting on 18 July 2011 Cabinet made a number of decisions that collectively set out the future approach of the Local Authority to community and stakeholder involvement and engagement and the Local Strategic Partnership, including theme partnerships. Two decisions taken were made 'in principle' as they may need to be revised following publication of the statutory guidance on Health and Wellbeing Boards. Those decisions were the proposed structure for community and stakeholder involvement and engagement and the creation of a Strategic Partners Group which will include the Mayor, all Cabinet Members and Chief Executive and other partners from the proposed membership option 2. Once the statutory guidance has been received a further report will be taken to Cabinet which will either confirm that the decisions are unaffected and therefore can be implemented or if the decisions are affected, Cabinet will be asked to consider alternative proposals which reflect the new position.
- 5.5 A proposed draft terms of reference for the shadow Health and Wellbeing Board is **Appendix 1**.

## **6. RECOMMENDATIONS**

- 6.1 It is recommended Cabinet consider and comment on the issues outlined in section 3.
- 6.2 It is recommended that Cabinet note that Health and Wellbeing Boards will be able to 'discharge executive functions of the Local Authority' and offer a view as to how this should be progressed in Hartlepool.

- 6.3 It is recommended that Cabinet note that elected members can be members of the Health and Wellbeing Board.
- 6.4 It is recommended that Cabinet offer a view as to whether the elected members on the shadow Health and Wellbeing Board are the Executive Members of the Local Authority. This is recommended as the Health and Wellbeing Board will be able to 'discharge executive functions of the Local Authority'.
- 6.5 It is recommended that in the light of the above, the elected Mayor is Chair of the Shadow Health and Wellbeing Board for the first year.
- 6.6 It is recommended that Cabinet note the development of the Shadow Health and Wellbeing Board in the light of the reviewed of the Local Strategic Partnership arrangements.
- 6.7 It is recommended that Cabinet note the proposed draft terms of reference and agrees that a shadow Health and Wellbeing Board is established by the end of September 2011, supported by democratic services.
- 6.8 It is recommended that Cabinet receive a further report in respect of the establishment of the formal Health and Wellbeing Board when the requirements have been fully established and full guidance is available.
- 6.9 It is recommended that given the potential constitutional implications of establishing a Health and Wellbeing Board that this issue is referred to Constitutional Working Group.

## **7. KEY CONTACT OFFICERS**

Louise Wallace, Assistant Director of Health Improvement  
Jill Harrison, Assistant Director for Adult Social Care  
4<sup>th</sup> Floor Civic Centre

**Draft Terms of Reference**

**Hartlepool Shadow Health and Wellbeing Board**

**1. Vision**

- 1.1 The people of Hartlepool will live healthy, safe and long lives.

(This is for purely illustrative purposes as vision will need to be agreed at first meeting of shadow board)

**2. Principles**

- 2.1 The board will adopt the following principles:

All members of the Board shall be committed to applying the principles established in the Community Strategy:

- Accountability
- Community involvement
- Co-ordination
- Equality and social inclusion
- Integrity
- Maximise opportunity
- Maximise resources
- Partnership
- Quality services and continuous improvement
- Sustainability

The partnership will strive to meet the standards set out in the COMPACT's code of practice on communication and consultation.

**3. Objectives**

- 3.1 The following objectives will form the basis of the annual work programme of the Board:-

1. To ensure the development and use of comprehensive evidence based Joint Strategic Needs Assessment (JSNA) in informing commissioning priorities and investment in health, social care and well being services.
2. To jointly plan, develop and implement a Health and Wellbeing Strategy that will deliver the vision of the Board, based on the JSNA and focused on the wider determinants of health and well being.
3. To ensure consistency between the Health and Wellbeing Strategy and the commissioning plans of the Clinical Commissioning Group.
4. To promote and ensure integration and joint commissioning across health and social care particularly for those services being commissioned and provided to the most vulnerable people.

5. Participate in the formal authorisation of the Clinical Commissioning Group.
6. To actively maximise the opportunities and mechanisms for involving local people in the processes to develop the JSNA; Health and Wellbeing Strategy and subsequent service provision.
7. To frequently monitor performance against the Health and Wellbeing Strategy with an agreed set of health outcome measures to maximise resources and secure new resources into the town such as through the proposed 'health premium'.

**4. Governance Arrangements**

- 4.1 To be agreed in light of LSP review and Cabinet discussion.

**5. Membership**

- 5.1 There will be two types of member on the Health and Wellbeing Board; a voting and a non voting member. This is because some members are exclusively providers of services and therefore there is the potential for conflict of interest or vested interest in commissioning decisions. Therefore those organisations that are exclusively providers of services will be non voting members. Those organisations that are both commissioner and providers will be voting members on the Board with a commissioner perspective and not as a provider.

Voting members include:

Mayor

Executive Members of the Local Authority

Chief Executive of Local Authority

Representative of Clinical Commissioning Group

Chief Executive / Director of the PCT (transitional arrangement until 2013)

Director of Public Health

Director of Child and Adult Social Services

Director of Regeneration and Neighbourhoods

HealthWatch Board Member

Participation of the NHS commissioning Board

Patient representative (s)

Non voting members include:

North Tees and Hartlepool NHS Foundation Trust

Tees Esk and Wear Valley NHS Trust

Voluntary Sector Representative (s)

North East Ambulance NHS Trust

Nominated deputies may attend.

- 5.2 There is the potential for co-opting members onto the Board to undertake specific pieces of work or for specialist knowledge and skills as agreed by the majority of voting board members.

- 5.3 There will be a Board Development process to maximise the skills, capacity and resources of all members.

**6. Chairing Arrangements**

- 6.1 The Chair in the first instance will be the Elected Mayor of the Local Authority. The Chair will hold office for one year. Should the chair fall vacant during the year the Vice Chair will assume the role of Chair for the remainder of the year, until the annual nomination and election of a new chair.

- 6.2 The Vice-Chair will also be elected at the first meeting of the shadow Board by being proposed by another member and a simple majority vote of all voting members. The Vice-Chair will hold office for one year. The Vice-Chair will be a representative of a different organisation than the Chair.

**7. Secretariat**

- 7.1 The Shadow Health and Well Being Board will receive secretarial support through the Local Authority Democratic Services. The Board will also be supported by a virtual multi-agency commissioning team.

**8. Frequency of Meetings**

- 8.1 The shadow Board will meet on a six weekly basis initially to establish work programme and ensure momentum until the board is formally in place by 2013.
- 8.2 The meetings will be held in public.
- 8.3 There will be an annual review meeting to reflect on the performance of the Board and proactively plan for the forthcoming year.

**9. Declaration of Interest**

- 9.1 Each member of the Health and Wellbeing Executive is required to declare any personal or pecuniary interest (direct or indirect) in any agenda items and shall take no part in the discussion or decision making about that item. All such declarations must be included in the minutes of the meeting.

# CABINET REPORT

15<sup>th</sup> August 2011



**Report of:** Director of Regeneration and Neighbourhoods.

**Subject:** PFRA - PRELIMINARY FLOOD RISK ASSESSMENT REPORT.

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## SUMMARY

### 1. PURPOSE OF REPORT

The report presents the Preliminary Flood Risk Assessment (PFRA) Report for Hartlepool produced in compliance with the Flood Risk Regulations 2009.

### 2. SUMMARY OF CONTENTS

The report provides a brief background to the Flood Risk Regulations and summarises the conclusions of the PFRA.

### 3. RELEVANCE TO CABINET

The PFRA is required under legislation and relates to flooding, which is a Borough wide issue.

### 4. TYPE OF DECISION

This is a non key decision.

### 5. DECISION MAKING ROUTE

Cabinet on 15<sup>th</sup> August 2011.

### 6. DECISION(S) REQUIRED

To note the conclusion of the PFRA that although Flood Risk Areas do exist within Hartlepool, there are no Flood Risk Areas within Hartlepool which are of National significance and authorise Officers to forward the PFRA to the Environment Agency.



**Report of:** Director of Regeneration and Neighbourhoods.

**Subject:** PFRA - PRELIMINARY FLOOD RISK ASSESSMENT REPORT.

---

## **1. PURPOSE OF REPORT**

1.1 The report presents the Preliminary Flood Risk Assessment (PFRA) Report for Hartlepool produced in compliance with the Flood Risk Regulations 2009.

## **2. BACKGROUND**

2.1 A previous report to Cabinet dated 9<sup>th</sup> May 2011 entitled “Update – Flood and Water Management Act (2010) and Flood Risk Regulations (2009)” discussed the legislative requirement for the Council to produce a PFRA in order to comply with the Flood Risk Regulations 2009.

2.2 The Flood Risk Regulations 2009 implement the European Floods Directive and provide a consistent approach to managing flood risk across Europe through a six year planning cycle based on a four stage process of:-

- Undertaking a Preliminary Flood Risk Assessment;
- Identifying flood risk areas;
- Prepare flood hazard and flood risk maps;
- Prepare flood risk management plans.

2.3 The PFRA is a high level screening exercise which involves collecting information on past (historic) and future (potential) floods, assembling it into a preliminary assessment report and using it to identify Flood Risk Areas. The PFRA comprises the Preliminary Assessment Report (PAR) and a supporting Preliminary Assessment Spreadsheet.

## **3. PFRA REPORT (SUMMARY)**

3.1 In order to ensure a consistent national approach for completing a PFRA, Defra has identified an impact threshold based on a 1km square grid whereby the grid square is classed as a significant risk area if it contains:-

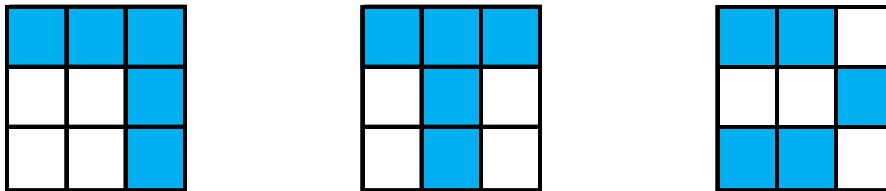
- 200 people; or
- 20 businesses; or
- 1 critical service at risk

3.2 The Environment Agency then assessed this criteria against their own national datasets, to determine indicative Flood Risk Areas. Within

Hartlepool there are 136 No. 1km grid squares; 12 of which exceed the thresholds listed above.

- 3.3 Nationally Significant Flood Risk Areas reflect sites where large concentrations of local indicative areas of significant risk exist. In England for national consistency, areas containing a square matrix of 9 squares each 1km x 1km are first developed. These areas are then populated with local flood risk information and a cluster is formed if these areas contain five or more touching squares of significant local flood risk (blue squares).

#### Significant Area Clustering Approach



- 3.4 Clustered areas that have been identified using this methodology and which exceed 30,000 people at risk of flooding meet the definition of a Flood Risk Area.
- 3.5 Considering the 12 indicative flood risk areas identified within Hartlepool (paragraph 3.2 above), there are two locations where the groupings of these areas satisfy the clustering methodology (i.e. 5 or more touching squares) explained above. However in both of these cases, the number of properties affected in the cluster are **significantly** below the 30,000 people at risk threshold required to be classified as a Flood Risk Area.
- 3.6 The conclusion of the PFRA report is that although flood risk areas do exist within Hartlepool, **there are no Flood Risk Areas within Hartlepool which are of National significance.**
- 3.7 The absence of a Significant Flood Risk Area within Hartlepool means that the next stage of the PFRA process is not triggered. The Council therefore does not have to produce flood hazard maps, flood risk maps and flood risk management plans.
- 3.8 The PFRA report and figures are included as **Appendix 1** to this report.

## 4. NEXT STEPS

- 4.1 The PFRA is to be forwarded to the Environment Agency who have a role to review, collate and publish the outputs.
- 4.2 The PFRA cycle will start again in 2016; it is therefore important to ensure that information is maintained and kept up to date for future use and to support other flood risk assessments.

## **5.0 FINANCIAL CONSIDERATIONS**

- 5.1 The PFRA has been funded from grant provided by DEFRA to all Local Lead Flood Authorities.

## **6.0 RECOMMENDATIONS**

- 6.1 It is recommended that Cabinet note the conclusion of the PFRA that although Flood Risk Areas do exist within Hartlepool, there are no Flood Risk Areas within Hartlepool which are of National significance and authorise Officers to forward the PFRA to the Environment Agency.

## **7.0 REASON FOR RECOMMENDATIONS**

- 7.1 To ensure that key statutory objectives relating to flood risk management for the Borough of Hartlepool are delivered.

## **8.0 BACKGROUND PAPERS**

1. Flood Risk Regulations – November 2009.
2. Selecting and Reviewing Flood Risk Areas for local sources of flooding (DEFRA) – 2010.
3. Preliminary Flood Risk Assessments, Final Guide (Environment Agency) – December 2010.
4. Cabinet Report dated 9<sup>th</sup> May 2010.
5. Scheme files in the Engineering Consultancy Section.

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**PRELIMINARY FLOOD RISK ASSESSMENT**

**PRELIMINARY ASSESSMENT REPORT**

**FOR**

**HARTLEPOOL BOROUGH COUNCIL**

ENGINEERING CONSULTANCY  
DEPARTMENT OF REGENERATION AND NEIGHBOURHOODS  
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MAY 2011

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## GLOSSARY OF TERMS

Term or Abbreviation	Definition
Act	A Bill approved by both the House of Commons and the House of Lords and formally agreed to by the reigning monarch (known as Royal Assent)
Assets	Structures, or a system of structures used to manage flood risk
AStGWF	Areas Susceptible to Groundwater Flooding
AStSWF	Areas Susceptible to Surface Water Flooding
BAP	Biodiversity Action Plan
Catchments	An area that serves a river with rainwater. Every part of land where the rainfall drains to a single watercourse is in the same catchment.
CFMP	Catchment Flood Management Plan
CSOs	Combined Sewer Overflows
Cultural heritage	Buildings, structures and landscape features that have an historic value. These are also known as heritage assets
Defences	A structure that is used to reduce the probability of floodwater or coastal erosion affecting a particular area (for example a raised embankment or sea wall)
Defra	Department for Environment, Food and Rural Affairs
DTM	Digital Terrain Model
FCERM	Flood and coastal erosion risk management
Flood	The temporary covering by water of land not normally covered with water
FMfSW	Flood Map for Surface Water
Flood Risk Area	An area determined as having a significant risk of flooding in accordance with guidance published by Defra and WAG
F&WMA	Flood and Water Management Act
GHG	Greenhouse Gas
Groundwater	Water which is below the surface of the ground and in direct contact with the ground or subsoil
HSWGW	Historic Surface Water and Groundwater
Indicative Flood Risk Areas	Areas determined by the Environment Agency as indicatively having a significant flood risk, based on guidance published by Defra and WAG and the use of certain national datasets. These indicative areas are intended to provide a starting point for the determination of Flood Risk Areas by LLFAs
LLFA	Local Lead Flood Authority
Local flood risk	Flood risk from sources other than main rivers, the sea and reservoirs, principally meaning surface runoff, groundwater and ordinary watercourses
LoSA	Level of Service Agreement
Main River	A watercourse shown as such on the Main River Map,

	and for which the Environment Agency has responsibilities and powers
MoU	Memorandums of Understanding
NRD	National Receptor Dataset – a collection of risk receptors produced by the Environment Agency
NWL	Northumbrian Water Ltd
Ordinary watercourses	All watercourses that are not designated Main River, and which are the responsibility of Local Authorities or, where they exist, IDBs
Preliminary assessment report	A high level summary of significant flood risk, based on available and readily derivable information, describing both the probability and harmful consequences of past and future flooding
Preliminary assessment spreadsheet	Reporting spreadsheet which LLFAs need to complete. The spreadsheet will form the basis of the Environment Agency's reporting to the European Commission
PFRA	Preliminary Flood Risk Assessment
PPS25	Planning Policy Statement 25
Receptor	Something that may be harmed by flooding
Regulations	The Flood Risk Regulations
Resilience	The ability of the community, services, area or infrastructure to withstand the consequences of an incident
Risk	Measures the significance of a potential event in terms of likelihood and impact
River basin district	There are 11 river basin districts in England and Wales, each comprising a number of contiguous river basins or catchments. The Environment Agency is responsible for collating LLFA reports at a river basin district level
SAB	SuD's Approval Board
SACs	Special Area of Conservation
SFRA	Strategic Flood Risk Assessment
Source	The origin of a hazard (e.g. heavy rainfall, strong winds, surge etc)
SPAs	Special Protection areas
SSSIs	Sites of Special Scientific Interest
SuDS	Sustainable urban Drainage systems
Surface runoff	Rainwater (including snow and other precipitation) which is on the surface of the ground (whether or not it is moving), and has not entered a watercourse, drainage system or public sewer
SWMP	Surface Water Management Plan
UKIP09	UK Climate Change Projections 2009



## EXECUTIVE SUMMARY

This report has been prepared by Hartlepool Borough Council (HBC) in order to meet new duties as a Lead Local Flood Authority (LLFA); specifically the report is required to manage local flood risk and deliver the requirements of the Flood Risk Regulations (2009).

The Regulations require LLFAs, through the Preliminary Flood Risk Assessment (PFRA) process, to determine whether there is a significant risk in their area based on local flooding (surface water, groundwater and ordinary watercourses) information. The PFRA comprises this document, known as the Preliminary Assessment Report (PAR) and the supporting Preliminary Assessment Spreadsheet.

As a LLFA, Hartlepool Borough Council must submit this PFRA to the Environment Agency for review by 22nd June 2011. The methodology for producing this PFRA is based on the Environment Agency's Final PFRA Guidance and Defra's Guidance on selecting Flood Risk Areas, both published in December 2010.

In order to ensure a consistent national approach, Defra has identified significance criteria and thresholds to be used for defining flood risk areas. The Environment Agency then used these criteria, assessed against their own national datasets, to determine indicative Flood Risk Areas. Ten (10) National Indicative Flood Risk Areas were identified; however none fall within Hartlepool.

In order to develop a clear overall understanding of the flood risk across Hartlepool, this report collates and reviews all available local flood risk information of past and future flood risk. The majority of this data was sourced from the Strategic Flood Risk Assessments (SFRA), Surface Water Management Plan (SWMP) and Integrated Urban Drainage Pilot Study (IUD).

Based on the available data, no past flood events have had 'significant harmful consequences' on a national scale. Therefore Annex 1 of the Preliminary Assessment Spreadsheet contains no records of past floods.

Future flood risk has been assessed using a set of Environment Agency flood maps on surface water, watercourses and groundwater. The Environment



Agency's National Flood Map for Surface Water (FMfSW) is the most appropriate surface water map based on local information and experience. However, this map only picked up 25% of historical flooding incidents recorded by Hartlepool Borough Council, the Environment Agency and Northumbrian Water. In addition to this, the Environment Agency Flood Zone maps and mapping from the detailed Level 2 SFRA have been utilised to produce "best available" surface water data for Hartlepool.

The incorporation of the local data into the analysis identified an additional risk area, however no clusters of risk areas exceed the Environment Agency threshold of 30,000 people required in the identification of a (nationally) Significant Flood Risk Area.

The absence of a Significant Flood Risk Area within Hartlepool means that the next stage of the PFRA process is not triggered. The Council therefore does not have to produce flood hazard maps, flood risk maps and flood risk management plans. However, Hartlepool Borough Council will still have to produce a local flood risk management strategy for Hartlepool at some point in the future in order to comply with the requirements of the Flood and Water Management Act 2010.

# 1 INTRODUCTION

## 1.1 Preliminary Flood Risk Assessment

The drivers behind the preparation of the Preliminary Flood Risk Assessment (PFRA) report are the Flood Risk Regulations (the Regulations), which came into force on the 10th December 2009, and the Flood & Water Management Act (F&WMA) which gained Royal Assent on the 8th April 2010.

Under this legislation, all Unitary Authorities and two-tier arrangements (all County Councils), have responsibility as a Lead Local Flood Authority (LLFA). As a LLFA, Hartlepool Borough Council (HBC) is required to complete a PFRA covering the Borough of Hartlepool. Section 2 of this report provides further details on the role and responsibilities of LLFAs.

The purpose of the Regulations was to transpose the European Floods Directive (Directive 2007/60/EC on the assessment and management of flood risk) into domestic law in England and Wales. The aim of the Directive is to reduce the likelihood and consequence of flooding by establishing a common framework for understanding and managing flood risk across Europe. It establishes four stages of activity within a six-year flood risk management cycle.

In particular, the Regulations place a duty on the Environment Agency and LLFAs to prepare a number of key documents including:-

- a preliminary assessment report (PAR) to identify Significant Flood Risk Areas, if any Significant Flood Risk areas are identified subsequently prepare:-
  - flood hazard and flood risk maps;
  - flood risk management plans.

Table 1-1 below shows the elements of work to be produced by HBC under the Regulations, along with the timescales of delivery.



**Table 1-1: Work Required under the Flood Risk Regulations 2009**

Timescale	Assessment or Plan	Description
22nd June 2011	Prepare a preliminary assessment report (PAR)	The PFRA should focus on local flood risk from surface water, groundwater, and ordinary watercourses.
22nd June 2011	Determination and identification of flood risk areas	Flood Risk Areas are areas of significant risk identified on the basis of the findings of the PFRA, national criteria set by the UK Government Secretary of State and guidance provided by the Environment Agency.
22nd June 2013	Prepare flood hazard maps and flood risk maps in relation to each relevant significant flood risk area	The hazard and risk maps will show the likely extent, depth, direction, speed of flow and probability of possible floods and their consequences.
22nd June 2015	Prepare a flood risk management plan in relation to each relevant flood risk area	The flood risk management plans will set out what the risk management objectives are, the measures proposed to achieve those objectives and how the measures are to be implemented.

This PAR consists of the first two stages of work required as outlined above. The identification of Flood Risk Areas will establish whether the final two stages of preparing hazard and risk maps and flood risk management plans are required.

The PFRA (and any subsequent maps and plans) will form part of the local flood risk management strategies that LLFAs are required to prepare under the F&WMA. Local strategies will set out how LLFAs propose to manage local flood risk in their area and will cover areas not identified as being at significant flood risk (Nationally) under the Regulations.

HBC are currently undertaking a Surface Water Management Plan (SWMP) for Hartlepool. This work is being carried out in tandem with the PFRA and investigations undertaken in each are directly relevant to the other. The PFRA and the SWMP should be consistent in their recommendations.

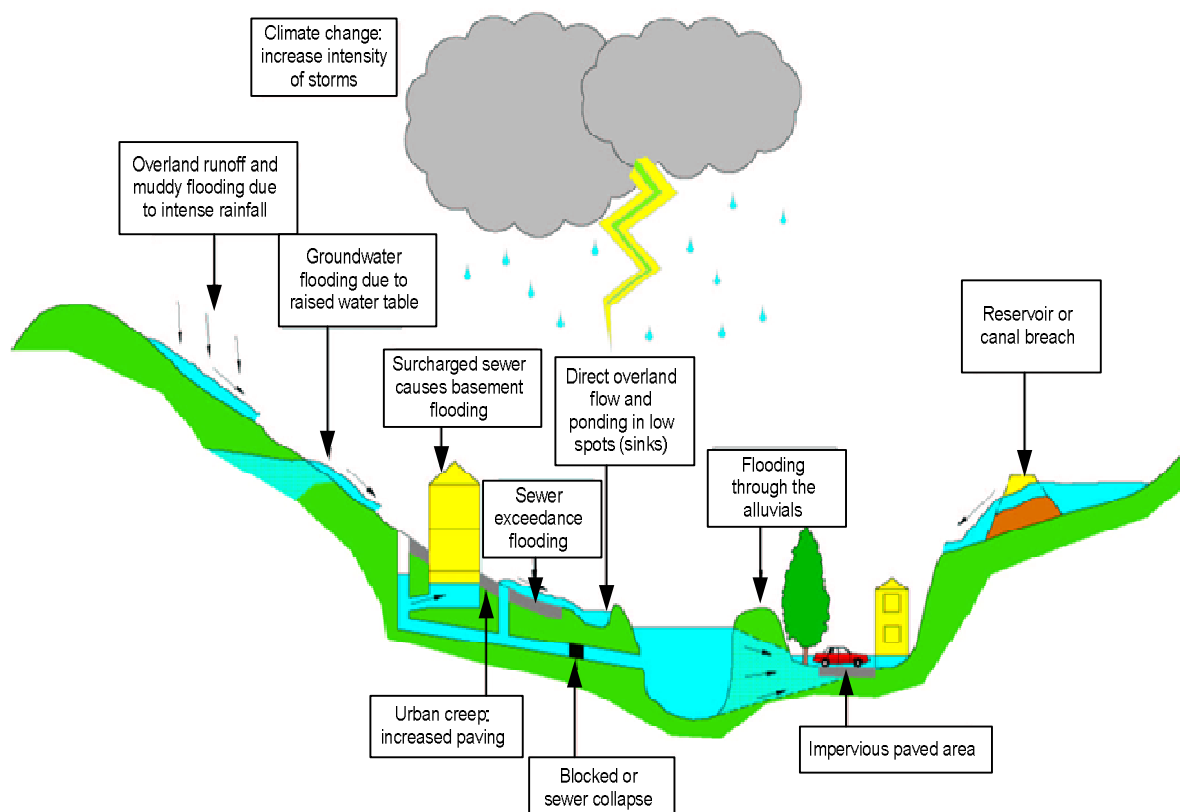
## 1.2 Sources of Flooding

The Regulations describe that flooding associated with the sea, main rivers and reservoirs is the responsibility of the Environment Agency. LLFAs are

responsible for assessing 'surface water' flood risk from sources of flooding other than main rivers, the sea and reservoirs.

For the purpose of the PFRA the definition of 'surface water' flood risk includes flooding from surface runoff via the drainage network, groundwater, ordinary watercourses and any interaction these have with other sources of flooding.

**Figure 1-1: Flooding from all Sources**



### 1.3 Flood Risk within the Study Area

#### Surface Water Flooding

Surface water runoff usually occurs because of short but intense rainfall events. Overland flow paths will follow the natural topography and surface finishes such as roads and paths travelling down to low lying spots, which often coincide with fluvial floodplains. Alternatively, runoff can exceed the capacity of the local drainage network and affect areas not obviously susceptible to flooding from the local topography.



Overland flow paths are most likely in steep rural areas and exceedances of drainage capacity most likely in flatter urban areas. Hartlepool contains a combination of these two surface types with a steep rural catchment to the west flattening toward the coast and the centre of Hartlepool to the east.

### Groundwater Flooding

Groundwater flooding occurs because of water rising up from the underlying aquifer or from water flowing from abnormal springs. This tends to occur after long periods of sustained heavy rainfall. The areas at most risk are often low-lying where the water table is more likely to be at shallow depth.

More localised groundwater flooding can occur from high in bank river levels and artificial obstructions to groundwater flow. Section 5 provides further details of groundwater flood risk in Hartlepool.

### Sewer Flooding

In addition to the flood risk from surcharging drainage networks, flood risk also exists where a combined sewer system is in place to manage surface water in older towns and cities. In these instances, surface water needs treatment prior to discharge into streams and rivers. As a result, flooding can occur where the network infrastructure is overwhelmed or fails upstream of the treatment works, for example at pumping stations. Often in these cases, Combined Sewer Overflows (CSOs) provide an overflow release from the drainage system into local watercourses or surface water systems during times of high flows produced by heavy rainfall.

Hartlepool has an extensive combined sewer system and is susceptible to flooding as a result of the limitations of the drainage network infrastructure. Key areas are typically located towards the coast at the downstream limit of the combined sewer network, prior to pumping to the treatment works.

### Main Rivers and Ordinary Watercourses

The location of Hartlepool between the rising hills to the west and the coast to the east means that there are a number of watercourses, generally flowing in an easterly direction, that pass through Hartlepool to the coast.

Flooding from these sources occurs where the flows exceed the capacity of the channel or where watercourses enter the drainage network. This can be

exacerbated where debris build up on trash screens and reduces the capacity of the inlet and where high tides prevent flows from discharging into the sea causing the system to back-up

The main watercourses are Burn Valley Beck (main river), Greatham Beck (Main River), The Stell, The Slake and Middle Warren Watercourse (Ordinary Watercourses). Figure 1-2 at the end of the report provides an overview of main rivers and ordinary watercourses present within Hartlepool.

#### **1.4 Aims and Objectives**

The PFRA is a high level screening exercise to locate areas in which the risk of surface water flooding is significant and warrants further examination through the production of maps and management plans. The aim of this PFRA is to provide an assessment of local flood risk across the Hartlepool area, including information on past floods and the potential consequences of predicted future floods. The key objectives of the PFRA are to:-

- identify relevant partner organisations involved in future assessment of flood risk; and summarise means of future and ongoing stakeholder engagement;
- describe arrangements for partnership and collaboration for ongoing collection, assessment and storage of flood risk data and information;
- provide a summary of the systems used for data sharing and storing and provision for quality assurance, security and data licensing arrangements;
- summarise the methodology adopted for the PFRA with respect to data sources, availability and review procedures;
- assess historic flood events within the study area from local sources of flooding (including flooding from surface water, groundwater and ordinary watercourses) and the consequences and impacts of these events;
- establish an evidence base of historic flood risk information, which will be built upon in the future and used to support and inform the preparation of Hartlepool's local flood risk strategy;



- assess the potential harmful consequences of future flood events within the study area;
- review the provisional national assessment of indicative Flood Risk Areas provided by the Environment Agency and provide explanation and justification for any amendments required to these Flood Risk Areas.



## **2 LEAD LOCAL FLOOD AUTHORITY (LLFA) RESPONSIBILITIES**

### **2.1 Introduction**

The Regulations define new responsibilities for flood risk management based on the recommendations of the Pitt Review. The preparation of a PFRA is just one of these responsibilities. This section provides a brief overview of other responsibilities HBC are obliged to fulfil under their new role as a LLFA.

### **2.2 Governance and Partnership Arrangements**

Sir Michael Pitt's review of the flooding in 2007 stated, "*The role of local authorities should be enhanced so that they take on responsibility for leading the co-ordination of flood risk management in their areas*". The Act provides for this through the new role of the LLFA.

Sir Michael Pitt's Review recommended that the LLFA should bring together all relevant bodies to help manage local flood risk. The Act also recognises the important roles played by District Councils, Highway Authorities, Water Companies and these bodies, together with the Environment Agency, are identified as risk management authorities.

The Act enables effective partnerships to be formed between the LLFA and the other relevant authorities who retain their existing powers (with some enhancement). It requires the relevant authorities to co-operate with each other in exercising functions under the Act and contains provisions for each to delegate functions to the other. It also empowers a LLFA to be able to require information from others needed for their flood risk management functions.

#### *Stakeholder Engagement*

The Hartlepool SWMP commenced in August 2010. The requirements of the SWMP correlate closely to those of the PFRA in that the objectives aim to fulfil Hartlepool's responsibilities as a LLFA.

HBC has set up an initial steering group for the SWMP consisting of key stakeholders from HBC, the Environment Agency (EA) and Northumbrian Water Ltd (NWL). Within this steering group a Memorandum of Understanding between partners has been agreed which sets out the shared

objectives of delivering a coordinated response to surface water management.

The SWMP has also delivered a communications and engagement plan identifying the wider project partners and outlining a programme through which wider stakeholder engagement will be undertaken.

Through the first stages of the SWMP, the following project partners, in addition to those on the steering group, have been consulted for feedback on flood risk issues:-

- HBC Highways Department;
- HBC Spatial Planning;
- Cleveland Emergency Planning Unit;
- CE Electric UK.

The following is a preliminary list of stakeholders identified in the communication plan to approach as required throughout production of the plan:-

- Natural England;
- Network Rail;
- Highways Agency;
- Parish Councils;
- Regeneration Agencies;
- Developers;
- Local Residents.

The consultation strategy provides an overview of key messages and data requirements for engagement with the wider stakeholders detailed above.

## **2.3 Further responsibilities**

In addition to forging partnerships, coordinating and leading on local flood risk management; there are a number of other key responsibilities that have arisen for LLFAs from the F&WMA and the Regulations. These responsibilities are included in Table 2-1 below.

The commencement date of some of these responsibilities has been extracted from a recent letter from Defra to LLFAs date 8th March 2011.

**Table 2-1: Further Key LLFA Responsibilities under the F&WMA**

LLFA Responsibility	Description	Legislation Commencement
<b>Local Strategy for Flood Risk Management</b>	HBC, as a LLFA is required to develop, maintain, apply and monitor a local strategy for flood risk management in its area. The local strategies will build on information such as national risk assessments and will use consistent risk based approaches across different local authority areas and catchments. The Local Strategy will not be secondary to the National Strategy; rather it will have distinct objectives to manage local flood risks important to local communities.	October 2010
<b>Investigating Flood Incidents</b>	HBC, as a LLFA has a duty to investigate and record details of significant flood events within their area. This duty includes identifying which risk management authorities have relevant flood risk management functions and how they intend to exercise those functions in response to a flood. The responding risk management authority must publish the results of its investigation and notify any relevant risk management authorities.	April 2011
<b>SuDS Approving Body</b>	The Act establishes each LLFA as a SuDS Approving Body (the "SAB"). The SAB will have responsibility for the approval of proposed drainage systems in new developments and redevelopments, subject to exemptions and thresholds. Approval must be given before the developer can commence construction. The SAB would also be responsible for adopting	Expected April 2012



LLFA Responsibility	Description	Legislation Commencement
	and maintaining SuDS that serve more than one property, where they have been approved. Highways authorities will be responsible for maintaining SuDS in public roads, to National Standards.	
<b>Works Powers</b>	The Act provides HBC, as a LLFA, with powers to do works to manage flood risk from surface runoff, groundwater and on ordinary watercourses, consistent with the Local Flood Risk Management Strategy for the area.	Implementation is planned to follow the national strategy coming into force later in the year
<b>Designation Powers</b>	The Act provides HBC, as a LLFA, with powers to designate structures and features that affect flooding or coastal erosion. The powers are intended to overcome the risk of a person damaging or removing a structure or feature that is on private land and which is relied upon for flood or coastal erosion risk management. Once a feature is designated, the owner must seek consent from HBC to alter, remove, or replace it.	Implementation is planned to follow the National Strategy coming into force later in the year
<b>Asset Register</b>	HBC, as a LLFA has a duty to maintain a register of structures or features, which are considered to have an effect on flood risk, including details on ownership and condition as a minimum. The register must be available for inspection and the Secretary of State will be able to make regulations about the content of the register and records.	April 2011

## 3 METHODOLOGY AND DATA REVIEW

### 3.1 Further responsibilities

The objective of the PFRA is to identify Significant Flood Risk Areas on a national basis for further analysis. Under the Regulations, Flood Risk Areas will require further examination and management through the production of flood risk and flood hazard maps and flood risk management plans.

This PAR provides the evidence base for identifying any Significant Flood Risk Areas. Although not a requirement of the Regulations, by collating and documenting all relevant local flood risk data, the PAR will also provide a useful reference document for ongoing local flood risk management.

The Environment Agency's PFRA Final Guidance (December 2010) provides the methodology for the PFRA, which involves:-

- data collection and analysis of past (historic) floods;
- data collection on future (potential) floods and review against past flooding data to confirm validity;
- review and update of nationally identified Flood Risk Areas.

### 3.2 Data Collection

#### Available data

To prepare this PAR, Hartlepool Borough Council has gathered information on past and future floods from a range of available sources. Much of this data was collated during the preparation of the Hartlepool Level 1 SFRA, Integrated Urban Drainage Study and the Hartlepool SWMP.

Some of the information is limited to specific locations and available locally, whilst other data is part of larger national datasets obtained from the Environment Agency.

Table 3-1 below provides a list of relevant information and datasets available from key stakeholders on both historic and future flood risk.

**Table 3-1: Relevant Information and Datasets**

Holder	Dataset	Description
EA	Areas Susceptible to Surface Water Flooding (AStSWF)	The first generation national mapping, outlining areas of risk from surface water flooding across the country with three susceptibility bandings (less, intermediate and more)
	Flood Map for Surface Water (FMfSW)	The updated (second-generation) national surface water flood mapping which was released at the end of 2010. This dataset includes two flood events (with a 1 in 30 and a 1 in 200 chance of occurring) and two depth bandings (greater than 0.1m and greater than 0.3m)
	Flood Map (Rivers and the Sea)	Shows the extent of flooding from rivers with a catchment of more than 3km <sup>2</sup> and from the sea
	Areas Susceptible to Groundwater Flooding	Coarse scale national mapping showing areas which are susceptible to groundwater flooding
	National Receptors Dataset	A national dataset of social, economic, environmental and cultural receptors including residential properties, schools, hospitals, transport infrastructure and electricity substations
	Indicative Flood Risk Areas	Nationally identified flood risk areas, based on the definition of 'significant' flood risk described by Defra
	Historic Flood Map	Attributed spatial flood extent data for flooding from all sources
	Tees Catchment Flood Management Plan (CFMP)	CFMPs consider all types of inland flooding, from rivers, groundwater, surface water and tidal flooding and are used to plan and agree the most effective way to manage flood risk in the future
HBC	Hartlepool Level 1 Strategic Flood Risk Assessment (SFRA)	The Level 1 SFRA contains useful information on historic flooding, including local sources of flooding from surface water, groundwater and the drainage system. The Level 1 SFRA also carried out local surface water modelling
	Hartlepool Level 2 Strategic Flood Risk Assessment (SFRA)	The Level 2 SFRA provides detailed flood risk information from Middle Warren Watercourse and from the River Tees.
	Hartlepool Integrated Urban Drainage (IUD) Study	The IUD collected a large amount of historical surface water flooding data across Hartlepool. The study then identified three critical drainage areas and focussed further investigations on these. The historical data was provided for the SWMP.



Holder	Dataset	Description
	Hartlepool Surface Water Management Plan (SWMP) (Ongoing)	The Hartlepool SWMP provides a detailed risk assessment of surface water flooding across the area and an overview of key high risk areas.
NWL	Sewer Flooding Locations	The location of sewer flooding locations (for events with a probability of 1 in 20-years or higher) within 100m square grids. This information was supplied as part of the Hartlepool SWMP.
	Extreme Sewer Flooding Locations	The location of extreme sewer flooding (for events with a probability of 1 in 20-years or lower) within 100m square grids. This information was supplied as part of the Hartlepool SWMP.
	Sewer Flooding Pipe References	NWL sewer pipe reference known to be at risk of flooding. This information was supplied as part of the Hartlepool SWMP.
BGS	Groundwater Susceptibility Map	British Geological Survey's (BGS) Groundwater Susceptibility Map determined from local ground conditions, national groundwater elevations and the local topography.

### Data limitations

All data collected during the PFRA and SWMP process has been recorded in a digital data register. The majority of the datasets could be mapped geographically (GIS) helping to visualise the risk of flooding.

Historical flooding information was variable with some high-level generic data identifying areas and some site specific data following reported incidents.

As detailed in Section 4, there are 320 records of flooding incidents in Hartlepool between HBC and NWL dating back to 2002. It is likely that this is not an exhaustive list, however the more generic data provided through the IUD study and HBC's experience should ensure that key flood risk areas are not omitted in this assessment.

### Data sharing and storage systems

HBC and the key stakeholders of the SWMP have signed up to a Memorandum of Understanding promoting the sharing of data in principle. The MoU recognises the importance of data security and confidentiality for key project partners.



NWL and the North East LLFAs are currently preparing a data sharing protocol to aid the exchange of mutually beneficial Flood Risk Management information. It is anticipated that the protocol will be formalised during the summer of 2011. The draft includes:-

- roles and responsibilities;
- provision of information;
- confidentiality;
- intellectual property;
- data protection.

All data collected and used within this PAR is stored on local servers, which are password protected and public documents are to be reviewed by all project partners prior to publication.

The delivery of more formalised data sharing systems between project partners is an ongoing process and further work is required to confirm how this will be managed in the future to facilitate HBC's role as LLFA.

Quality assurance

Each dataset has been reviewed and its quality and confidence rated for use in the PFRA assessed. A data quality score was given, which is a qualitative assessment based on the Data Quality System provided in the SWMP Technical Guidance document (March 2010). Table 3-2 explains this system.

**Table 3-2: Recording the Quality of Data**

Data Quality Score	Description	Explanations	Example
1	Best possible	No better available; not possible to improve in the near future	High resolution LIDAR River/sewer flow data Rain gauge data
2	Data with known deficiencies	Best replaced as soon as new data are available	Typical sewer or river model that is a few years old
3	Gross assumptions	Not invented but based on experience and judgement	Location, extent and depth of surface water flooding Operation of un-modelled highway





			drainage 'future risk' inputs e.g. rainfall, population
4	Heroic assumptions	An educated guess	Ground roughness for 2D models

The use of this system provides a basis for analysing and monitoring the quality of data that is being collected and used in the preparation of the PFRA. Recording also ensures that uncertainties are recognised early and understood at a later stage.

Data licensing and restrictions

A summary table illustrating the restrictions on the use of this data is included in Table 3-3.

**Table 3-3: Summary of Data Restrictions and Licensing Details**

Data Owner	Restrictions on Data Use
Environment Agency	This data falls under the licence agreement with HBC and the Environment Agency. The use of some data is restricted to HBC and their consultants. The use of other data is unrestricted.
Northumbrian Water	This data falls under the licence agreement with HBC and Northumbrian Water Ltd. The use of all data provided is restricted to HBC and their consultants.
British Geological Survey	This data falls under the licence agreement with HBC and British Geological Survey. The use of all data provided is restricted to HBC and their consultants.

## 4 PAST FLOOD RISK

### 4.1 Overview of historical flooding in Hartlepool

The data sources identified in Table 3-1 provide the historical flood records for Hartlepool. Data from the Level 1 SFRA and the SWMP constitutes the majority of the data but this is supplemented by more generic high-level data from the IUD study.

There are 320 incidents from a variety of sources with differing levels of impact recorded by HBC and NWL since 2002. This data has been categorised into flood risk sources and the resulting impacts of flooding based on the details available in each dataset.

This section summarises all the historical information readily available, which although not required by the Regulations, will be useful for further local flood risk management.

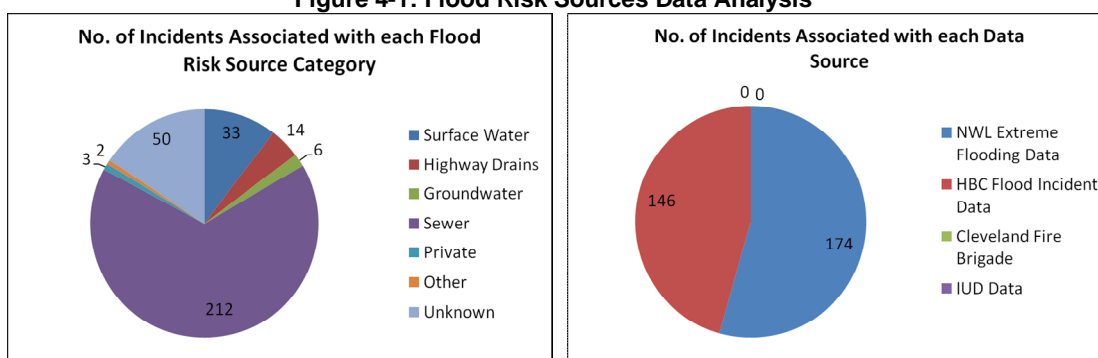
#### Flood risk sources

Flood incident data held by HBC and NWL has been categorised into flood risk sources. Remaining incident data did not have sufficient information to identify flood risk sources.

The descriptions accompanying the incident data held by HBC have been categorised into surface water, highway drains, groundwater, sewer, private, other and unknown sources.

All data provided by NWL has been categorised as sewer flooding. This data reflects extreme flood events in excess of the 1 in 30-year return period and so does not necessarily reflect limitations in the sewer network.

**Figure 4-1: Flood Risk Sources Data Analysis**





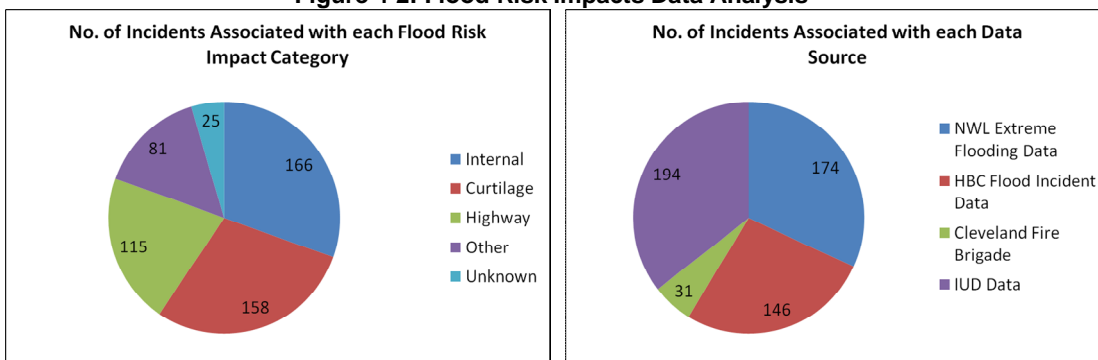
The analysis of the data indicates the greatest proportion of flooding is attributable to discharges from the sewer network. This distribution however is a reflection of the quantity of data held by NWL compared to other data sources.

Flood risk impacts

Flood incident data held by HBC, Cleveland Fire Brigade and NWL collected as part of the IUD pilot study contains high level information of the impacts of flooding.

In all cases, incidents have been categorised into internal, curtilage, highway, other, or unknown where no information is available on the impacts of the flooding or the descriptions are vague.

**Figure 4-2: Flood Risk Impacts Data Analysis**



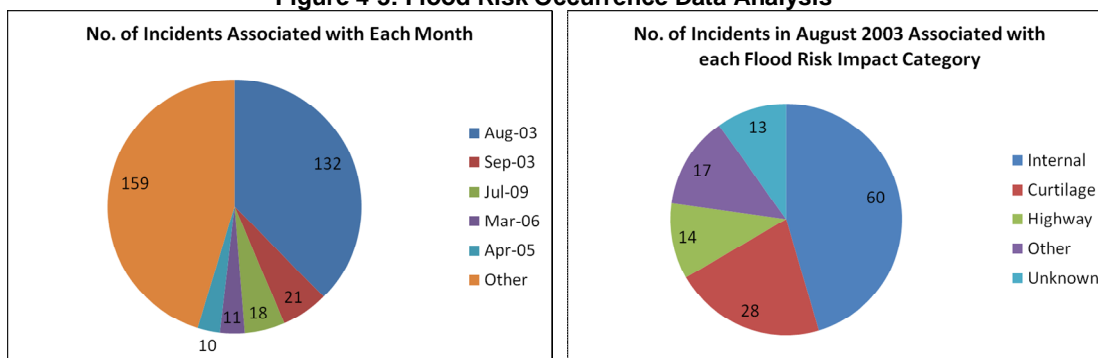
The analysis shows approximately one third of flooding incidents are attributed to internal and curtilage flooding of properties.

Significant historical events

Flood incident data held by HBC, Cleveland Fire Brigade and NWL details the date the incident occurred. This information has been analysed to identify the historical events with the greatest consequences, in this case based on the number of reported incidents. Data has been analysed on a monthly basis only.



**Figure 4-3: Flood Risk Occurrence Data Analysis**



The greatest historical flood event based on the available data occurred in August 2003 with close to 40% of all reported incidents occurring within this month. The distribution of the impacts during this event shows a significant proportion of reported incidents related to internal property flooding.

To understand the significance of this event with respect to the national criteria, the internal flood incidents, 60 in total, have been cross referenced against a 1km grid system. This approach is comparable to the national approach for determining areas at significant flood risk.

Figure 4-4 at the end of the report provides an overview of the distribution of the flooding in the August 2003 event across Hartlepool.

The greatest concentration of flooding in this event occurred to the north of Hartlepool and equates to 11 properties per 1 km grid square. Assuming all properties are residential and applying the national significance multiplier of 2.34 suggests therefore that 26 people were at risk in this event. Whilst this event was clearly significant locally, the quantified number of people at risk is considered to be insufficient for the event to be classed as having 'significant harmful consequences' under the Flood Risk Regulations on a national basis. This therefore cannot be designated as being a significant event.

### **Preliminary Assessment Spreadsheet Annex 1 - Past Floods**

The review of past flood events has not identified any event where the consequences of flooding (in this instance number of people affected), in a 1 km grid square, would be classed as significantly harmful by the PFRA. Based on the above the PFRA records no historical events in Annex 1 of the Preliminary Assessment Spreadsheet.

## 5 FUTURE FLOOD RISK

### 5.1 Introduction

To ensure flood risk is assessed objectively this PFRA has not only considered historical location of known flooding but also where flooding might occur in the future.

### 5.2 Overview of Local Flood Risk Data in Hartlepool

#### Surface water flooding

As identified in Table 3-1, there are a number of national and local datasets available regarding surface water flooding in Hartlepool.

The Environment Agency has produced a national assessment of surface water flooding in the form of two national mapping datasets. The first-generation national mapping, Areas Susceptible to Surface Water Flooding (AStSWF), was released in 2008. The AStSWF map shows areas where surface water would be expected to flow or pond using three susceptibility bandings for a rainfall event with a 1 in 200 chance of occurring. It was produced using a simplified method, which excluded all underground sewerage and drainage systems, smaller over ground drainage systems and buildings.

The Environment Agency updated this national methodology in 2010 and released their second-generation national mapping, Flood Map for Surface Water (FMfSW). The revised model included a number of amendments to the AStSWF methodology including two flood events (1 in 30 and 1 in 200 annual chance), the influence of buildings and the influence of the public sewer system. The FMfSW also displayed its outputs using two predicted flood depth bandings (greater than 0.1m and greater than 0.3m).

Using both of the Environment Agency's national datasets, the number of properties at risk of surface water flooding within Hartlepool has been estimated. The results are of the same order of magnitude; however the first-generation national mapping, AStSWF, provides a higher estimate of properties at risk within Hartlepool as detailed in Table 5-1.

**Table 5-1: Properties at Risk from Future Surface Water Flooding**

National Dataset	Banding	Number of Properties at Flood Risk	Number of Residential Properties	Number of non-Residential Properties
Areas Susceptible to Surface Water Flooding	Less	10300	8500	1800
	Intermediate	2900	2300	600
Flood Map for Surface Water (1 in 200-year)	>0.1m	8600	7100	1500
	>0.3m	1700	1500	200

HBC recently completed a Level 1 SFRA, which carried out local surface water modelling across Hartlepool. This local modelling was carried out in 2009 after the Environment Agency's first-generation national mapping was released. The modelling approach used local characteristics of rainfall and topography and updated the national methodology to include buildings. Three susceptibility bandings were again used to illustrate areas at risk of surface water flooding. The input characteristics of this local modelling approach in comparison with those from the national dataset is detailed in Table 5-2 below.

**Table 5-2: Comparative Surface Water Modelling Approaches**

Variable	Surface Water Modelling Outputs in Hartlepool		
	Areas Susceptible to Surface Water Flood (ASStSWF)	Level 1 SFRA Surface Water Mapping	Flood Map for Surface Water (FMfSW)
Date	2008	2009	2010
Coverage	National	Hartlepool	National
Modelling Package	JFlow	JFlow	JFlow
Annual Probability Rainfall	1 in 200	1 in 200	1 in 30 1 in 200
Storm Duration	6.5 hours	1.1 hours	1.1 hours
Rainfall Profile	50% summer	50% summer	50% summer
Reduction to rainfall amount to represent infiltration	0 - No infiltration	38% rural 70% urban	39% rural 70% urban
Reduction to rainfall amount to represent sewer flow	0 - Drainage systems assumed to be at capacity	0 - Drainage systems assumed to be at capacity	0mm/hr rural 12mm/hr urban



Variable	Surface Water Modelling Outputs in Hartlepool		
	Areas Susceptible to Surface Water Flood (AStSWF)	Level 1 SFRA Surface Water Mapping	Flood Map for Surface Water (FMfSW)
Sewer Spill Volumes	Not considered	Not considered	Not considered
Manning's 'n'	0.1	0.05	0.1 rural 0.03 urban
DTM	Infoterra bare earth LIDAR and Geo-Perspectives	EA LIDAR	EA 2010 Composite
Model Resolution	5m	2m	5m
Buildings	Not represented	Buildings within DTM raised by 0.6m	DTM raised by 5m
Roads	Not considered	Roads lowered by 100 mm	Not considered
Threshold Bands	Less: 0.1 to 0.3m Intermediate: 0.3 to 1m More: >1m	Less: 0.1 to 0.3m Intermediate: 0.3 to 1m More: >1m	Less: >0.1m More: >0.3m

Best available surface water information

Environment Agency guidance on using surface water flood risk information recommends that HBC, as a LLFA, should:-

- review
- discuss
- agree, and
- record with the Environment Agency, Water Companies and other interested parties, what surface water flood data best represents their local conditions.

This dataset will then be known as “locally agreed surface water information”. Whilst this is not a requirement under the Regulations, it does inform the PFRA process because this information plays an important part in identifying Flood Risk Areas.

To provide greater clarity on which of the surface water maps is best in representing known flood risk within Hartlepool, the number of properties at risk of flooding to a depth of 0.3m or greater has been cross-referenced against the



known internal property flood occurrences taken from historical records; this is shown in Figure 5-3 to Figure 5-5 at the end of the report.

Table 5.3 below summarises the total number of 100m grid squares where properties are predicted to flood for each surface water map; displayed against the number of grid squares where the predicted flooding coincides with a historical event.

**Table 5-3: Comparison of Predicted against Historical Flooding**

Number of 100m Grid Squares		
	Predicted Incidents	Coincident Incidents
AStSWF	303	44
SFRA Flood Map	310	43
FMfSW	277	43

Table 5.3 suggests the FMfSW is showing greater accuracy in predicting flood risk sites across Hartlepool. The AStSWF and the SFRA show reasonable agreement suggesting the inclusion of an allowance for drainage structures is a critical parameter given the similarity between the FMfSW and the SFRA map in the remaining parameters.

In all cases, the flood maps are only predicting a small proportion of the historical flood incidents and therefore the surface water mapping data sets alone should not be used to identify areas at risk of flooding.

The FMfSW dataset will be used as the best available surface water information for Hartlepool based on the above and following agreement within the steering group for the SWMP that the parameters for this flood map are more representative of the conditions experienced in Hartlepool.

Groundwater flooding

The Environment Agency's national dataset, Areas Susceptible to Groundwater Flooding (AStGWF), provides an indication of future flood risk from groundwater. In addition to this, HBC have purchased the British Geological Survey's (BGS) map of susceptibility to groundwater flooding to assist in the development of the SWMP.

BGS have developed their susceptibility map using their DiGMapGB-50 data. This dataset consists of four layers detailing bedrock geology, superficial deposits, mass movement and artificial or man-made ground. Rules applied to



these layers dictate those areas that are susceptible to groundwater flooding and areas where groundwater flooding cannot occur. This data is cross-referenced against a national groundwater surface and a digital terrain model to derive degrees of susceptibility across the UK. The dataset does not provide any information about the likelihood of a groundwater flooding event occurring.

The Environment Agency's map has been derived using the top two susceptibility bands of the BGS 1:50,000 Groundwater Flood Susceptibility Map. 1km grid squares are classified as one of four categories of susceptibility reflecting the degree to which each square is susceptible to groundwater emergence.

The BGS groundwater susceptibility map is considered the best locally available information for groundwater flooding.

A review of the BGS groundwater susceptibility map shows the majority of Hartlepool to be at low risk of groundwater flooding. There are a few isolated high risk areas around the harbour and to the south east of the borough in areas where the bedrock is less permeable than the wider catchment.

#### Ordinary watercourse flooding

There are three main ordinary watercourses in Hartlepool; the Slake, Middle Warren watercourse and the Stell.

The Environment Agency Flood Zones are the only available dataset for the Slake, the upper reaches of the Middle Warren watercourse and the Stell. The Level 2 SFRA investigated overtopping flood risk from Middle Warren Watercourse at the inlet to the surface water network of the Northern Area Main Drain.

The Environment Agency developed the Flood Zones using high level modelling work only, however they represent flood risk not otherwise reflected in the surface water maps and as such, these and the Level 2 SFRA modelling, are included in the best available surface water data.

#### Summary

The best available surface water information for Hartlepool consists of the:-

- FMfSW for surface water flood risk;
- BGS susceptibility map for groundwater flood risk;

- Environment Agency Flood Zones for flood risk from ordinary watercourses;
- SFRA flood map for overtopping flood risk from Middle Warren Watercourse;

The best available surface water information is summarised in Figure 5-6.

### **Preliminary Assessment Spreadsheet Annex 2 - Future Floods**

The above described locally significant data is recorded in Annex 2 of the Preliminary Assessment Spreadsheet.

## **5.3 Effects of climate change and long term developments**

### *The evidence*

Over the past century around the UK we have seen sea level rise and more of our winter rain falling in intense wet spells. Seasonal rainfall is highly variable. It seems to have recently decreased in summer and increased in winter, although winter amounts previously changed very little in the last 50 years. Some of the changes might reflect natural variation; however the broad trends are in line with projections from climate models.

Greenhouse gas (GHG) levels in the atmosphere are likely to cause higher winter rainfall in future. Past GHG emissions mean some climate change is inevitable in the next 20-30 years. Lower emissions could reduce the amount of climate change further into the future, but changes are still projected at least as far ahead as the 2080s.

We have enough confidence in large scale climate models to say that we must plan for change. There is more uncertainty at a local scale but model results can still help us plan to adapt. For example we understand rain storms may become more intense, even if we can't be sure about exactly where or when. By the 2080s, the latest UK climate projections (UKCP09) are that there could be around three times as many days in winter with heavy rainfall (defined as more than 25mm in a day). It is plausible that the amount of rain in extreme storms (with a 1 in 5 annual chance or rarer) could increase locally by 40%.

### Key projections for Northumbria River Basin District

If emissions follow a medium future scenario, UKCP09 projected changes by the 2050s relative to the recent past are:-

- Winter precipitation increases of around 10% (very likely to be between 0 and 23%);
- Precipitation on the wettest day in winter up by around 11% (very unlikely to be more than 24%);
- Relative sea level at Tynemouth very likely to be up between 7 and 38cm from 1990 levels (not including extra potential rises from polar ice sheet loss);
- Peak river flows in a typical catchment likely to increase between 8 and 13%.

Increases in rain are projected to be greater near the coast than inland.

### Implications for flood risk

Climate changes can affect local flood risk in several ways. Impacts will depend on local conditions and vulnerability.

Wetter winters and more rain falling in wet spells may increase river flooding in both rural and heavily urbanised catchments. More intense rainfall causes more surface runoff, increasing localised flooding and erosion. In turn, this may increase pressure on drains, sewers and water quality. Storm intensity in summer could increase even in drier summers.

Rising sea or river levels may increase local flood risk inland or away from major rivers because of interactions with drains, sewers and smaller watercourses.

Where appropriate, local studies are needed to understand climate impacts in detail, including effects from other factors like land use. Sustainable development and drainage will help us adapt to climate change and manage the risk of damaging floods in future.

### Adapting to change

Past emission means some climate change is inevitable. It is essential we respond by planning ahead. We can prepare by understanding our current and future vulnerability to flooding, developing plans for increased resilience and

building the capacity to adapt. Regular review and adherence to these plans is key to achieving long-term, sustainable benefits.

Although the broad climate change picture is clear, we have to make local decisions local decisions against deeper uncertainty. We will therefore consider a range of measures and retain flexibility to adapt. This approach, embodied within flood risk appraisal guidance, will help to ensure that we do not increase our vulnerability to flooding.

### Long term developments

It is possible that long term developments might affect the occurrence and significance of flooding. However, current planning policy aims to prevent new development from increasing flood risk.

In England, Planning Policy Statement 25 (PPS25) on development and flood risk aims to "ensure that flood risk is taken into account at all stages in the planning process to avoid inappropriate development in areas at risk of flooding, and to direct development away from areas at highest risk. Where new development is, exceptionally, necessary in such areas, policy aims to make it safe without increasing flood risk elsewhere and where possible, reducing flood risk overall."

Adherence to Government policy ensures that new development does not increase local flood risk. However, in exceptional circumstances the Local Planning Authority may accept that flood risk can be increased contrary to Government policy, usually because of the wider benefits of a new or proposed major development. Any exceptions would not be expected to increase risk to levels which are "significant" (in terms of the Government's criteria).

## 6 REVIEW OF INDICATIVE FLOOD RISK AREAS

### 6.1 Identifying Significant Risk Areas

#### Indicator thresholds

The Regulations require LLFAs to determine whether there is a significant risk in their area based on local flooding data.

Significant risk is dependent on the consequences of flooding to human health, economic activity and the environment (including cultural heritage). Key flood risk indicators are summarised in Table 6-1.

**Table 6-1: Flood Risk Indicators**

Impacts of Flooding on	Flood Risk Indicators
Human Health	Number of people (based on residential properties) Number of critical services (schools, hospitals, nursing homes, police/fire/ ambulance stations)
Economic Activity	Number of non-residential properties (e.g. shops, offices and churches) Length of road or rail Area of agricultural land
Environment	Designated sites (SSSIs, SACs, SPAs, etc) and BAP habitat
Cultural Heritage	World Heritage Sites

To ensure a consistent approach nationally Defra and WAG have defined an impact threshold based on a 1km grid square whereby the grid square is classified as a significant risk area if it contains:-

- 200 people; or
- 20 businesses; or
- 1 critical service at risk.

#### Indicative significant risk areas

The Environment Agency have provided indicative significant risk areas by cross-referencing the FMfSW (1 in 200-year rainfall) against the National Receptors Database and comparing to the impact thresholds above.

Within Hartlepool's administrative boundary there are 136 No 1km grid squares; 11 of which exceed the thresholds listed above.

Figure 6-1 at the end of the report illustrates those areas identified as significant. Table 6-2 provides a breakdown of each significant 1km grid square

and indicates (in bold text) why the thresholds are exceeded for each grid square.

**Table 6-2: Summary of Significant Risk Areas in Hartlepool**

Map Location ID	GRIDSQ	Number of People	Number of Non-Residential Properties	Number of Critical Services
60	X448Y529	150	2	<b>2</b>
73	X449Y530	106	5	<b>2</b>
83	X449Y531	122	7	<b>2</b>
84	X450Y531	150	<b>21</b>	0
95	X450Y532	<b>209</b>	15	0
105	X449Y533	<b>305</b>	7	<b>2</b>
106	X450Y533	<b>342</b>	<b>20</b>	<b>1</b>
108	X452Y533	50	<b>22</b>	<b>1</b>
124	X448Y535	<b>309</b>	1	0
125	X449Y535	57	4	<b>2</b>
126	X450Y535	<b>225</b>	15	<b>2</b>

The Map Location ID refers to the numbered grid squares in Figure 6-1.

### Review of significant risk areas

The analysis of the best available surface water information confirmed that the FMfSW is the preferred national dataset for surface water flood risk in Hartlepool. The assessment also identified that the Environment Agency Flood Zones and Level 2 SFRA mapping for three ordinary watercourses; the Stell, the Slake and Middle Warren Watercourse, as important local flood risk information.

The best available surface water information datasets have been combined and the predicted impact assessment described above revisited. This has been undertaken to identify the number of properties at risk of flooding, all building footprints that intersect the surface water information have been incorporated into a predicted flood risk envelope.

It is noted that the Flood Zones include all flooding where as the FMfSW and the Level 2 SFRA mapping datasets used incorporate flooding in excess of 0.3m only.

This analysis has identified an additional significant risk area detailed on Figure 6.1 and in Table 6-3.

**Table 6-3: Additional Significant Areas in Hartlepool**

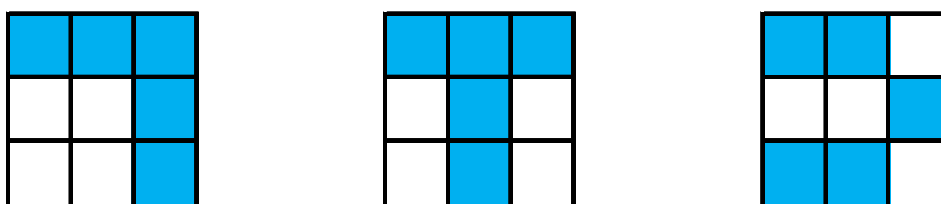
Map Location ID	GRIDSQ	Number of People	Number of Non-Residential Properties	Number of Critical Services
116	-	<b>473</b>	12	<b>2</b>

## 6.2 Identifying Flood Risk Areas

Nationally significant Flood Risk Areas reflect sites where large concentrations of local areas of significant risk exist. In England for national consistency, areas containing a square matrix of 9 squares each 1km x 1km are first developed. These areas are then populated with local flood risk information and a cluster is formed if these areas contain five or more touching squares of significant local flood risk (blue squares).

The blue squares are regarded as touching if they are adjacent up or down, side by side or diagonally as shown in the examples below.

**Figure 6-1: Significant Area Clustering Approach**



The clustered areas that have been identified using this methodology and which exceed 30,000 people at risk of flooding have been mapped and identified as Indicative Flood Risk Areas. For further details, reference can be made to Defra’s Guidance for selecting and reviewing Flood Risk Areas for local sources of flooding (December 2010).

### Review of indicative flood risk areas

Defra have identified no Indicative Flood Risk Areas within Hartlepool using the methodology outlined above. To confirm the validity of this, the PFRA has reviewed the suitability of the national methodology against local flooding data.

The results of this assessment identified 12 significant risk areas within Hartlepool. There are two locations where the groupings of these areas satisfy the clustering methodology (i.e. 5 or more touching squares). In both of these cases however, the number of properties affected in the cluster are significantly



below the 30,000 people at risk threshold required to be classified as a Flood Risk Area.

The conclusion of this PFRA report is that **there are no Flood Risk Areas within Hartlepool which are of National significance.** The justification for this is summarised in Table 6-4.

**Table 6-4: Indicative Flood Risk Area Review**

Question	Response	Action
Is the FMfSW the most appropriate source of information?	Yes. The suitability of all surface water map datasets has been reviewed against local historic data and the FMfSW shows the best correlation with known flooding. HBC experience shows that the modelling assumptions in this dataset reflect the local climate conditions.	No action
Are the consequences of flooding from other sources e.g. groundwater, ordinary watercourses likely to lead to significant Flood Risk Areas?	Three ordinary watercourses were identified in which the Flood Zones and local surface water information could supplement the FMfSW. These datasets have been incorporated into the review of Flood Risk Areas. No significant Flood Risk Areas were identified as a result.	No action
Is there information on past floods which had significant harmful consequences?	The largest historical flood event apparent in the historical records occurred in August 2003. A review of the consequences of this event suggests that the event produced a people score of 26 using the national indicator methodology. This is a factor of 10 below the national criteria and the event is not considered to have had significant harmful consequences.	No action
Is there any other information on the possible harmful consequences of future floods?	No further information on the consequences of future flooding is available.	No action

**Preliminary Assessment Spreadsheet Annex 3 - Flood Risk Areas**  
 Hartlepool Borough Council do not have a Flood Risk Area in their administrative area. No data is recorded in Annex 3 of the Preliminary Assessment Spreadsheet.



## **7 NEXT STEPS**

### **7.1 Introduction**

Although no Flood Risk Areas have been identified in Hartlepool, triggering the requirement to produce flood hazard and risk maps and a flood risk management plan, the Council must still continue to commit to local flood risk management in its area.

The PFRA cycle will start again in 2016; it is therefore important to ensure that information is maintained and kept up to date for future use and to support other flood risk assessments (such as SWMPs, SFRAs) and as part of local strategies. In the next cycle, more information will be mandatory for floods that occur after 22 December 2011.

The first review cycle of the PFRA will be led by HBC and must be submitted to the Environment Agency by the 22nd of June 2017. They will then submit it to the European Commission by the 22nd of December 2017 using the same review procedure described above.

### **7.2 Local flood risk management strategy**

The Act requires HBC, as a LLFA, to develop, maintain, apply and monitor a strategy for local flood risk management in its area. The LLFA will be responsible for ensuring the strategy is put in place, but the local partners can agree how to develop it in the way that suits them best. The Act sets out the minimum that a local strategy must contain and the LLFA is required to consult on the strategy with risk management authorities and the public. Local partnerships between other risk management authorities (including Northumbrian Water, the Environment Agency and neighbouring LLFAs) will be critical.

Local flood risk includes surface runoff, groundwater and ordinary watercourses (including lakes and ponds). This PFRA has identified a number of locally significant flood risk areas in Hartlepool. Whilst the clustering approach has not identified an area within Hartlepool which would meet the national threshold of 30,000 people at risk; the data collated within the PFRA documents will be extremely useful in development of the local flood risk management strategy.

HBC will need to consider the full range of measures consistent with a risk management approach in developing the local flood risk strategy. Resilience and other approaches, which minimise the impact of flooding, are expected to be a key aspect of the measures proposed.

### 7.3 Flood incident investigations and incident register

In order to continue to fulfil the role as LLFA, HBC is required to investigate future flood events and to ensure continued collection, assessment and storage of flood risk data and information.

This process was initiated during the IUD project and has been further facilitated through the PFRA process. From the 22 December 2011, LLFAs are required to collect the following data detailed in Table 7-1 for each flood event.

**Table 7-1: Historic Incident Register Summary**

Field	Description
Start Date	Date and time
Duration	Days
Location	Address, town, postcode and Easting / Northing
Probability	Estimate return period
Main Source	Main rivers, surface runoff, groundwater, ordinary watercourses and any interaction these have with drainage systems and other sources of flooding including sewers.
Additional Source	Main rivers, surface runoff, groundwater, ordinary watercourses and any interaction these have with drainage systems and other sources of flooding including sewers.
Man Mechanism	Natural exceedance, defence exceedance, failure, blockage etc
Flood consequence data	Number of residential/commercial/people/critical services affected
Risk of flooding	Low, medium or high
Response	Action taken i.e. evacuation
Incident registered by	Hartlepool Borough Council, NWL, Highway etc.



## REFERENCES

1. Communities and Local Government (2010) PPS25: Practice Guide
2. Defra (2010) Surface Water Management Plan Technical Guidance
3. Defra / WAG (2010) Selecting and reviewing Flood Risk Areas for local sources of flooding – Guidance to Lead Local Flood Authorities.
4. Environment Agency (2010) Preliminary Flood Risk Assessment: Final Guidance (Report – GEHO1210BTGH-E-E).
5. Environment Agency (2011) Preliminary Flood Risk Assessment: Annexes to the Final Guidance Version 2 (Report – GEHO1210BTHF-E-E).
6. Hartlepool Borough Council (2010) Hartlepool Level 1 Strategic Flood Risk Assessment
7. Hartlepool Borough Council (2010) Hartlepool Level 2 Strategic Flood Risk Assessment
8. Hartlepool Borough Council (2011) Surface Water Management Plan Memorandum of Understanding
9. Hartlepool Borough Council (2011) Surface Water Management Plan Communication Strategy
10. The Pitt Review (2008) Learning lessons from the 2007 floods



## **ANNEXES**

### **ANNEX 1: Records Of Past Floods and Their Significance.**

Please refer to Annex 1 of the Preliminary Assessment Spreadsheet attached with this report.

### **ANNEX 2: Records Of Future Floods and Their Consequences.**

Please refer to Annex 2 of the Preliminary Assessment Spreadsheet attached with this report. This spreadsheet includes a complete record of future flood risk within Hartlepool, including details of the potential consequences of flooding to key risk receptors within the borough.

### **ANNEX 3: Records Of Flood Risk Areas and their Rationale.**

Please refer to Annex 3 of the Preliminary Assessment Spreadsheet attached with this report.

### **ANNEX 4: Review Checklist.**

Please refer to Annex 4, attached to this report, which contains the Review Checklist that has been provided by the Environment Agency to act as a checklist for reviewing PFRA submissions.



## FIGURES

- Figure 1-2: Site Overview
- Figure 4-4: Historical Flooding Significance Assessment - August 2003
- Figure 5-3: Locally Agreed Surface Water Information - AStSWF
- Figure 5-4: Locally Agreed Surface Water Information - FMfSW
- Figure 5-5: Locally Agreed Surface Water Information - Level 1 SFRA
- Figure 5-6: Locally Agreed Surface Water Information - Final Dataset
- Figure 6-2: Assessment of Significant Risk Areas

# CABINET REPORT

15<sup>th</sup> August 2011



**Report of:** Director of Regeneration and Neighbourhoods  
and Director of Child & Adult Services

**Subject:** DEPARTMENT FOR WORK & PENSIONS -  
NEW FUNDING OPPORTUNITIES 2011

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## SUMMARY

### 1.0 PURPOSE OF REPORT

To inform Cabinet of three new funding opportunities to tackle worklessness, which are being made available by Department of Work & Pensions [DWP].

### 2.0 SUMMARY OF CONTENTS

The report outlines new DWP funding streams that may offer opportunities for the Council and the Hartlepool Works consortium to develop and implement new employability programmes, supporting non economically active residents. The brief for each funding opportunity is outlined in the report.

### 3.0 RELEVANCE TO CABINET

The potential funding opportunities primarily involve employment and training outcomes, however there will be a need for close cross Departmental work to develop a range of interventions to remove barriers to employment and training.

### 4.0 TYPE OF DECISION

Non Key

### 5.0 DECISION MAKING ROUTE

Cabinet

**6.0 DECISION(S) REQUIRED**

The report is for information. Appropriate subsequent reports to be submitted to gain Cabinet approval to deliver any successful bids for the three funding opportunities outlined in this report. These decisions are likely to be key decisions subject to the outcome of the bidding process.

**Report of:** Director of Regeneration and Neighbourhoods  
and Director of Child & Adults

**Subject:** DEPARTMENT FOR WORK & PENSIONS NEW  
FUNDING OPPORTUNITIES 2011

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**1. PURPOSE OF REPORT**

1.1 To inform Cabinet of three new funding opportunities to tackle worklessness, which are being made available by Department of Work & Pensions [DWP].

**2. BACKGROUND**

2.1 The Department of Work and Pensions has recently announced additional measures to tackle worklessness and youth unemployment through European Social Funds( ESF) in addition to the Government's Work Programme introduced in June 2011 (reference : Department for Work & Pensions – Work Programme report , Regeneration & Economic Development Portfolio 22nd July 2011).The three measures enable the Council and its external partners to bid for funds to support Hartlepool residents and households with multiple barriers to employment.

2.2 The full guidance for the bidding processes are still to come forward from DWP, however, expressions of interest are requested during August through to November 2011 to DWP or the Prime Providers listed on the Department's Framework for Employment Related Services.

**3. OVERVIEW OF THE PROGRAMMES:**

**3.1 The Flexible Support Fund:**

A Flexible Support Fund (FSF) enabling local initiatives to be delivered in partnership to support people into work. £1.8 million of funding is available for the Durham and Tees Valley Jobcentre Plus District (DTV), up to March 2012, with the possibility of a further 12 months funding in 2013.

3.2 The FSF can be used to meet identified local need, to add value to existing services to achieve greater effect, including the following activities

- to purchase provision (e.g. outreach services) that aligns with inter-related provision from other local partners to tackle common priorities;
- to engage locally with wider government initiatives whose outcomes contribute to DWP objectives.



- 3.3 The suggested key priorities and target groups are young people and other customer groups with significant and persistent or multiple barriers to employment. The programme can have a sectoral focus e.g. offshore wind although this is not a specific requirement. Any proposals must link to existing pre Work Programme activities operated by JCP and must directly link people into work .In addition proposals must not duplicate other provision (e.g. Work programme customers, ESF funded provision).
- 3.4 Approval of bids is dependent on the amount applied for by organisations. Bids of up to £10,000 can be approved by the Jobcentre Plus District Manager, between £10,000 and £25,000, the Customer Service Director (North East of England Group Director), above that, the DWP Executive Board. Grant must be paid to a Local Accountable Body and DWP's legal relationship is with that organisation only.

#### **4 INNOVATION FUND**

- 4.1 The Government announced on 12<sup>th</sup> May 2011 an Innovation Fund of up to £30m across the UK over three years for social investment projects, paid on an outcome funded basis. The projects will support young people aged 14 and over who are disadvantaged or at risk of disadvantage.
- 4.2 The purpose of the Innovation Fund is to improve the employment prospects for young people by:
- Supporting disadvantaged 14 – 17 year olds to participate and succeed in education or training in order to achieve better employment outcomes.
  - Providing intervention and support which help to deliver improved employment outcomes for young people aged 18 and over.
- 4.3 In recognition of the fact that it could take some years to track the final employment outcomes for young people DWP is currently developing proxy intermediate outcome measures that DWP will pay for. In line with the Governments overall policy for raising participation in education or training in England, DWP will only incentivise outcomes for 16 – 17 year olds that include education or training (including apprenticeships and work with training). For those over 18 years, securing employment will be a key outcome.
- 4.4 In evaluating the effectiveness of the Innovation Fund , DWP will look at Issues such as the extent to which it has been successful in building new and sustainable social investment partnerships and building delivery capacity.
- 4.5 The bidding round will be late 2011, with contracts awarded mid 2012, this will allow time to develop proposals and partnership arrangements. DWP expect to award approximately 8 – 12 contracts in total depending on the financial liability of the outcome payments and the quality of the bids. There is no

minimum funding requirement for the Innovation Fund bids. DWP's intention is to run a number of projects in order to test different arrangements and therefore bids in excess of £3million per year will not be considered and expectations are that bids will be considerably smaller. Bids may be for the full amount of the project costs.

- 4.6 DWP is seeking Innovation Fund proposals from Social Investment Partnerships, comprising one or more investors and one or more delivery bodies. In some cases, particularly where Social Impact Bonds are used, (multiple investors) an intermediary may be involved. The role of the intermediary includes developing the investment arrangements and working with investors and delivery organisations to agree and support the arrangements. The intermediary may also hold the contract with the commissioner and pass on the agreed returns to the investors.

## **5. ESF SUPPORT FOR FAMILIES WITH MULTIPLE PROBLEMS**

- 5.1 The aim of the ESF Family Provision is to move family members closer to the labour market, so that they can enter employment or take advantage of employment focussed support, such as the Work Programme. Eligible families must have at least one family member on out of work benefits and a history of worklessness. The programme is voluntary and Providers will be paid for delivering progress measures and job outcomes. Providers will be able to be innovative in the progress measures and decide how they will be measured.
- 5.2 ESF Family Provision will be let through the DWP Framework for Employment Related (Prime Providers). Provision is expected to go live around the end of 2011. Contracts will run between 2011 and 2013 and ESF funding of £200 million will be available across 12 contract package areas. DWP intends that Local Authorities will be the primary route for referrals to the provision. ESF Family Provision must not duplicate what is available locally, but must compliment and align with locally available provision.
- 5.3 The Government has released guidance that links this programme to Families with multiple problems in general and Family Intervention Projects in particular. As a consequence Regeneration and Planning are working alongside Children's Services to ensure readiness for this project.

## **6. ACTIONS**

- 6.1 Following a presentation to key stakeholders including the third sector on 13<sup>th</sup> July 2011 agreement was given by the stakeholders for Hartlepool Borough Council to act as a lead body on for all three funding opportunities. It is anticipated that detailed discussions will take place between the Council, DWP, all Prime Providers on the Framework for Work Related Provision and Job Centre Plus to assess the potential funding opportunities in more detail

and where appropriate expressions of interest and final bids will be developed and submitted.

**7. RECOMMENDATIONS**

- 7.1 The report is for information. Appropriate subsequent reports to be submitted to gain Cabinet approval to deliver any successful bids for the three funding opportunities outlined in this report. These decisions are likely to be key decisions subject to the outcome of the bidding process.

**8. CONTACT OFFICER**

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# CABINET REPORT

15 August 2011



**Report of:** Director of Child and Adult Services

**Subject:** SOUTHERN CROSS HEALTHCARE

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## SUMMARY

### 1. PURPOSE OF REPORT

To provide Cabinet with an update in respect of Southern Cross Healthcare following the recent announcement that the company has suspended trading of its shares on the stock market and intends to work with its landlords to manage the transfer of all of its care homes to alternative care operators.

### 2. SUMMARY OF CONTENTS

This report will provide some background information on Southern Cross, the impact in Hartlepool of its decision to cease operations and how the Council will work with Southern Cross and its landlord to ensure a smooth transition to a new care operator for Elwick Grange Care Home.

### 3. RELEVANCE TO CABINET

To provide Cabinet with relevant up to date information on the current situation as it affects Hartlepool care home residents.

### 4. TYPE OF DECISION

No decision required, for information only.

### 5. DECISION MAKING ROUTE

Cabinet on 15 August 2011.

### 6. DECISION(S) REQUIRED

Cabinet is requested to note the report.

**Report of:** Director of Child and Adult Services

**Subject:** SOUTHERN CROSS HEALTHCARE

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## **1. PURPOSE OF REPORT**

- 1.1 To provide Cabinet with an update in respect of Southern Cross Healthcare following the recent announcement that the company has suspended trading of its shares on the stock market and intends to work with its landlords to manage the transfer of all of its care homes to alternative care operators.

## **2. BACKGROUND**

- 2.1 Southern Cross Healthcare is one of the country's largest residential and nursing home providers. During the period 2006-2008 the company pursued an aggressive acquisition strategy involving the purchase of a number of care homes across the country, including the North East of England, where Southern Cross have a substantial share of the market. The company's approach to financing this strategy led to financial problems during 2008, leaving the company heavily in debt and with falling share prices. At that time Southern Cross remained adamant that the company was profitable and financially viable, however the company was also beset nationally by a number of serious safeguarding and quality issues which were the subject of considerable media coverage at that time.
- 2.2 In March 2011, further media reports of the company's financial difficulties began to emerge and Southern Cross reported that it was entering into a series of discussions with its landlords to enable a restructuring of its finances and organisation. It intended to continue to trade, while divesting itself of some of its most unaffordable homes and with some care homes being transferred back to landlords. Those homes transferred back to landlords would either directly provide the care themselves or engage alternative care providers to do so on their behalf. The anticipated completion date for this re-structuring exercise was October 2011.
- 2.3 Nationally the company operates 752 care homes and, of those homes, 250 are owned by landlords who are also existing care providers.
- 2.4 On 11 July 2011, Southern Cross announced it was suspending trading of its shares and, rather than some of the landlords taking homes back from Southern Cross, that all of the landlords wished to lose Southern Cross as a tenant, which would mean there would be no viable business remaining after the restructuring. This is a matter of the corporate governance requirements

for the UK Listing Authority and does not impact on the day to day trading or operation of the care homes themselves.

- 2.5 The impact of the announcement is that homes will now, over a period of weeks and months, revert to their landlords who will either operate them themselves or appoint new providers to deliver care services. During this time Southern Cross will still continue to trade as a company and work with landlords and local authorities to manage this process. Southern Cross has written to all local authorities to advise that the completion date for all home transfers is now likely to be November 2011.
- 2.6 In Hartlepool, Southern Cross has one care home, Elwick Grange, which is situated on Elwick Road. The landlord for Elwick Grange is Citrus Healthcare, part of the larger Citrus Group which is a London-based development and investment organisation with 14 care homes in the North East.

### **3. CURRENT SITUATION AND NEXT STEPS**

- 3.1 Elwick Grange care home has 60 beds but currently only 30 beds are occupied; 22 of these being commissioned by the Council, 2 by other local authorities, 1 by the Primary Care Trust and 5 purchased by individuals who fund their own care.
- 3.2 Officers have been monitoring the performance of Elwick Grange for many months as there have been management issues at the home which resulted in the Council suspending new placements until Southern Cross could demonstrate sustained improvement. This explains the low occupancy levels at the home. Throughout the recent period of uncertainty about the future of Southern Cross, the Council's main focus has been and continues to be the provision of good quality care and the continuity of that care for the residents of Elwick Grange.
- 3.3 Officers are in regular contact with the Regional Director of Southern Cross and have also had an initial meeting with the landlord, Citrus, to discuss the future care operator for Elwick Grange. It is understood that Citrus are in discussions with 2 potential operators and are keen to enter into a legal arrangement that includes guarantees about the quality and financial stability of the potential care operator. Citrus have agreed to keep the Council informed of progress and stated that their timescale for completion is no later than October 2011.
- 3.4 Southern Cross have written to residents and their families explaining the situation and reassuring them of continuity of care, advising that existing staff will transfer to the new care operator and that they will be kept up to date on developments over the coming weeks and months.

- 3.5 A letter has also been sent to residents and/or their families, from Child and Adult Services, offering help and support should they require it and giving a single point of contact. A similar letter has also gone to those who self fund their care home placement and to people from Hartlepool who have chosen to reside in Southern Cross homes elsewhere in the region (9 in total – 7 in Stockton, 1 in Durham and 1 in Newcastle).
- 3.6 Officers will continue to liaise with Southern Cross and Citrus during the transition period of operations transferring from Southern Cross to the new care operator. In addition, continued monitoring will take place to ensure the residents in Elwick Grange are well cared for and supported during this difficult period.

#### **4. RECOMMENDATIONS**

- 4.1 Cabinet is asked to note the contents of this report.

# CABINET REPORT

15 August 2011

**Report of:** Director of Child and Adult Services

**Subject:** SCRUTINY INVESTIGATION INTO 'CONNECTED CARE' – ACTION PLAN

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## SUMMARY

### 1. PURPOSE OF REPORT

- 1.1 To agree an Action Plan in response to the findings and subsequent recommendations of the Health Scrutiny Forum's investigation into 'Connected Care'.

### 2. SUMMARY OF CONTENTS

- 2.1 At the Cabinet meeting of 4 July 2011 (reconvened on 7 July 2011), Members considered the Final Report from the Health Scrutiny Forum into 'Connected Care' and made the following decision:-

“That the recommendations....of the Health Scrutiny Forum following its investigation into 'Connected Care' be approved and adopted”

- 2.2 However, in relation to the proposed Action Plan, Cabinet Members made the following recommendation:-

“That the Action Plan in response to the recommendations of the Health Scrutiny Forum's investigation into 'Connected Care' be deferred for further consideration.”

- 2.2 Subsequently at today's meeting is a report providing brief background information into the 'Connected Care' scrutiny investigation and a revised proposed Action Plan (**Appendix A**) in response to the Scrutiny Forum's recommendations.

### 3. RELEVANCE TO CABINET

- 3.1 To assist Cabinet in its approval or rejection of the proposed actions, attached as **Appendix A** is the Action Plan for the implementation of the



recommendations which has been prepared in consultation with the appropriate Portfolio Holder(s).

**4. TYPE OF DECISION**

4.1 Non-Key.

**5. DECISION MAKING ROUTE**

5.1 The Action Plan and the progress of its implementation will be reported to the Health Scrutiny Forum on 8 September 2011 (subject to availability of the appropriate Portfolio Holder(s)).

**6. DECISION REQUIRED**

6.1 That Members of the Cabinet approve the Action Plan (**Appendix A** refers) in response to the recommendations of the Health Scrutiny Forum's investigation into 'Connected Care'.

**Report of:** Director of Child and Adult Services

**Subject:** SCRUTINY INVESTIGATION INTO 'CONNECTED CARE' – ACTION PLAN

---

**1. PURPOSE OF REPORT**

1.1 To agree an Action Plan in response to the findings and subsequent recommendations of the Health Scrutiny Forum's investigation into 'Connected Care'.

**2. BACKGROUND INFORMATION**

2.1 At the Cabinet meeting of 4 July 2011 (reconvened on 7 July 2011), Members considered the Final Report from the Health Scrutiny Forum into 'Connected Care' and made the following decision:-

“That the recommendations...of the Health Scrutiny Forum following its investigation into 'Connected Care' be approved and adopted”

2.2 However, in relation to the proposed Action Plan, Cabinet Members made the following recommendation:-

“That the Action Plan in response to the recommendations of the Health Scrutiny Forum's investigation into 'Connected Care' be deferred for further consideration.”

2.3 To assist Cabinet in its approval or rejection of the proposed actions, attached as Appendix A is the Action Plan for the implementation of the recommendations which has been prepared in consultation with the appropriate Portfolio Holder(s).

2.4 Also attached as **Appendix B** is a summary of the connected care model, connected care in Hartlepool and the Community Interest Company Who Cares (NE).

2.5 The overall aim of the investigation was to explore and evaluate the impact of Connected Care in Hartlepool.

**3. ACTION PLAN**

3.1 As a result of the Health Scrutiny Forum's investigation into 'Connected Care', the following recommendations have been made:-

(a) That a strategy is devised to identify those communities within Hartlepool who may benefit from the delivery of the Connected Care model;

- (b) That once recommendation (a) is completed, Connected Care is rolled-out to other communities in Hartlepool:-
  - (i) Ensuring that the necessary governance structure is in place;
  - (ii) Identifying the needs of the individual community from residents and ensuring the delivery of a bespoke service that covers any gaps in existing provision;
  - (iii) Ensuring that partnership arrangements are in place for current service providers and that duplication of work does not occur for those providers already delivering relevant services in that community; and
  - (iv) That a feasibility study is carried out into support for the Connected Care roll-out through the transfer of staff and / or resources.
- (c) That following the completion of the work being undertaken by the LSE:-
  - (i) That the findings are shared with the Health Scrutiny Forum; and
  - (ii) That where evidence demonstrates the financial benefits of Connected Care, those organisations benefitting from early intervention by Connected Care, are invited to support or further support the Connected Care programme through resource allocation.
- (d) That in order to ensure the safety of Connected Care Navigators and as part of a multi-disciplinary approach to meeting the needs of individuals, that a feasibility study be undertaken into Navigators accessing Care First, Rio, Employee Protection Register and other related systems.

3.2 An Action-Plan in response to these recommendations has now been produced in consultation with the appropriate Portfolio Holder(s) and is attached at **Appendix A** which is to be submitted to the Health Scrutiny Forum on 8 September 2011 (subject to the availability of appropriate Portfolio Holder(s)).

#### 4. RECOMMENDATION

4.1 Cabinet is requested to approve the Action Plan attached as **Appendix A** in response to the recommendations of the Health Scrutiny Forum's investigation into 'Connected Care'.