

CABINET AGENDA



Monday 24 October 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, Simmons 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 10 October 2011
(previously circulated)

4. BUDGET AND POLICY FRAMEWORK

4.1 Revision to the Local Development Scheme – *Director of Regeneration and
Neighbourhoods*

5. KEY DECISIONS

- 5.1 North East Retrofit Project – *Director of Regeneration and Neighbourhoods*
- 5.2 Regeneration and Planning 2012/13 Savings – *Director of Regeneration and
Neighbourhoods*
- 5.3 Early Intervention Strategy – *Director of Child and Adult Services*

6. OTHER ITEMS REQUIRING DECISION

- 6.1 Parks and Countryside - Departmental Saving 2012/13 – *Director of Regeneration and Neighbourhoods*
- 6.2 Security Arrangements – *Chief Customer and Workforce Services Officer*

7. ITEMS FOR DISCUSSION/INFORMATION

- 7.1 Local Enterprise Partnership / Tees Valley Investment Plan – *Director of Regeneration and Neighbourhoods*
- 7.2 Priority Schools Building Programme – *Director of Child and Adult Services*

8. REPORTS FROM OVERVIEW OF SCRUTINY FORUMS

No items.

EXEMPT ITEMS

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

9. EXEMPT KEY DECISIONS

No items

10. EXEMPT OTHER ITEMS REQUIRING DECISION

- 10.1 Temporary Re-structure of the Chief Executive's Division in line with Joint Head of HR role – *Acting Chief Executive*

CABINET REPORT

24th October 2011



Report of: Director of Regeneration and Neighbourhoods

Subject: REVISION TO THE LOCAL DEVELOPMENT SCHEME

SUMMARY

1. PURPOSE OF REPORT

- 1.1 To seek approval for a revision to the current Local Development Scheme (LDS) of October 2010 to take account of recent changes within planning at a national and regional level and changing circumstances locally.

2. SUMMARY OF CONTENTS

- 2.1 The Local Development Scheme should be kept up to date as far as practicable and revised as circumstances arise. The document should identify milestones which are realistic and achievable.
- 2.2 Since the last revision to the Local Development Scheme in October 2010 a number of new issues have arisen which need to be reflected in the Local Development Scheme programme. These relate not only to changes to the planning system proposed by the new Government, but also specifically to reflect Cabinet's decision to undertake a 2nd Preferred Options Document on the Core Strategy. The number of responses to this document was unprecedented and took far longer than anticipated to collate. At its meeting of the 24th September 2011 to consider the issues raised by the Core Strategy consultation, Cabinet asked officers to work towards a Publication Document in January 2012.

3. RELEVANCE TO CABINET

- 3.1 The Local Development Scheme sets out the Council's programme for the preparation of development plan documents forming part of the Development Plan which is part of the Budget and Policy Framework.

4. TYPE OF DECISION

- 4.1 The LDS forms part of the Budget and Policy Framework

5. DECISION MAKING ROUTE

- 5.1 Cabinet 24th October 2011.

6. DECISION REQUIRED

- 6.1 Cabinet is requested to approve the Revised Local Development Scheme (October 2011) for consultation with the Planning Inspectorate and, subject to their acceptance of the programme, the revised LDS be submitted to the Secretary of State.

Report of: Director of Regeneration and Neighbourhoods

Subject: REVISION TO THE LOCAL DEVELOPMENT SCHEME

1. PURPOSE OF REPORT

- 1.1 To seek approval for a revision to the current Local Development Scheme (LDS) of October 2010 to take account of recent changes within planning at a national and regional level and changing circumstances locally.

2. BACKGROUND

- 2.1 The preparation of a Local Development Scheme is a requirement under the planning system. Its main purpose is to identify a rolling programme for the Council's proposals for producing planning policy documents over the next three years and to highlight the stages in the preparation of planning policy documents particularly with regard to public participation with the community and major stakeholders.
- 2.2 The Secretary of State approved the original Local Development Scheme in March 2005 since when there have been revisions in 2006, 2007, 2008, 2009 and 2010.

3. REVISIONS TO THE LOCAL DEVELOPMENT SCHEME

- 3.1 It is important that the Local Development Scheme is kept up to date and is revised periodically to ensure that it is rolled forward and that milestones are as realistic as possible.
- 3.2 It should be a definitive programme management document which should only be departed from in exceptional circumstances or as agreed in response to the Annual Monitoring Report. As mentioned in paragraph 2.2, there has been a tendency to revise the LDS annually in response to changing circumstances at national, regional and local level. Some of these changes have been simply amendments to the projected timescales for completing DPDs or SPDs, but others have resulted from Cabinet approvals to prepare additional SPDs eg for some of the towns regeneration areas. Technically, Supplementary Planning Documents do not need to be included within the LDS, and have therefore been removed from this LDS and included in a separate non-statutory document

which can be easily updated without the need to update the LDS. This will help reduce the frequency of updating the LDS, allowing Planning Officers more time to concentrate on other tasks.

- 3.3 Given the recent adoption of the Tees Valley Minerals and Waste DPD and the decision to incorporate the Affordable Housing policies within the Core Strategy, the only document included in the 2011 Local Development Scheme is the:

- Core Strategy Development Plan Document (DPD)
- 3.4 There are a number of changes proposed to the Core Strategy DPD document. Primarily the responses received to the 2nd Preferred Options Document were of a significant level and took longer than anticipated to collate and digest. Secondly emerging changes to the National Planning Framework in the form of the emerging National Planning Policy Framework (NPPF) also need to be understood and accurately reflected in the Core Strategy. At its meeting on the 24th September Cabinet asked officers to produce the Publication stage of the Core Strategy for January 2012. This new timescale has been reflected in the revised LDS (attached as **Appendix 1**).

- 3.5 The Joint Minerals and Waste Development Plans Documents have now been adopted by the 5 Tees Valley Local Authorities on the 15th September 2011 and therefore no longer needs to be included in the LDS.

- 3.6 A revised LDS which incorporates the proposed changes outlined above is attached as **Appendix 1**.

- 3.7 The Revised Local Development Scheme October 2011 needs to be formally agreed with the Planning Inspectorate prior to being formally submitted to the Secretary of State.

4. FINANCIAL CONSIDERATIONS

- 4.1 There are no financial implications relating to the proposed LDS amendments.

5. LEGAL CONSIDERATIONS

- 5.1 There is a statutory duty on the Local Authority to have an up-to-date LDS.

6 DECISION REQUIRED

- 6.1 Cabinet is requested to approve the Revised Local Development Scheme (October 2011) for consultation with the Planning Inspectorate and, subject to

their acceptance of the programme, the revised LDS be submitted to the Secretary of State.



HARTLEPOOL LOCAL DEVELOPMENT SCHEME OCTOBER 2011

Contents

No	Subject	Page No
1	Introduction	2
2	The Development Planning System Diagram 1: Local Development Framework Documents	4
3	The Local Development Scheme Saved Policies Statement of Community Involvement Development Plan Documents Joint Development Plan Documents Supplementary Planning Documents Diagram 2: Timetable of Core Strategy Development Plan Document	6 6 6 7 8 8 9
	Tables 1: Document Profile	10
4	Sustainability Appraisal	12
5	Appropriate Assessment	12
6	Links to Other Strategies	12
7	Evidence Base	12
8	Monitoring and Review (Annual Monitoring Report)	13
9	Managing the Process Staff Resources Financial Resources Programme Management Political Process Risk Assessment and Contingencies	14 14 14 14 15 15
10	Review of the Local Development Scheme	16
	Appendices	
1	List of Acronyms and Technical Terms Used in this Report	17
2	Schedule of Hartlepool Local Plan Saved Policies	20
3	Strategies and Programmes to be Considered	24
4	Reports Contributing to the Evidence Base for New Local Development Documents	26

1. INTRODUCTION

- 1.1 This Local Development Scheme sets out a rolling programme for the preparation of documents relating to forward planning in Hartlepool. It is specifically concerned with documents being prepared over the next three years or so. The scheme will be reviewed as necessary as circumstances change (see section 10).
- 1.2 The Local Development Scheme was first published in March 2005. It was subsequently reviewed in July 2006 to take account of the proposal to prepare joint Minerals and Waste Development Plan Documents and also to exclude from the programme, the Hartlepool Local Plan, which had been adopted in April 2006. The 2008 review related to changes to the timetable for the preparation of the Planning Obligations SPD and the preparation of a new SPD on Transport Assessment & Travel Plan Guidance. The 2009 review took account of the need to include several new documents including the Affordable Housing Development Plan Document and the Victoria Harbour Supplementary Planning Document. The reasons for a further 2010 update included that the Affordable Housing DPD was incorporated into the Core Strategy and also that a Housing Allocations DPD will not be produced as it is adequately covered by the housing policies within the Core Strategy. This 2011 update has been necessary due to delays in the production of the Core Strategy Publication stage as a result of high levels of representations to the 2nd Preferred Options Stage and ongoing uncertainty around national and regional policy.
- 1.3 The Local Development Scheme acts as the starting point for the community, key stakeholders and others with an interest in the development process, who wish to find out about the status of existing and emerging planning policies. It sets out the timetable and highlights the key stages for the preparation of new policy documents and when they are proposed to be, subject to public consultation. Acronyms and terminology used in this document are explained in Appendix 1.
- 1.4 Statutory planning policies for Hartlepool are presently set out in the saved policies of the Hartlepool Local Plan (adopted 2006 with certain policies saved beyond 13 April 2009), the North of England Plan Regional Spatial Strategy published in July 2008 (However once the Localism Bill is enacted this will abolish the regional tier of the development plan) and the Tees Valley Minerals and Waste DPD which was formally adopted on the 15th September 2011.
- 1.5 The Planning and Compulsory Purchase Act 2004 resulted in major changes to the way the planning policy system operates and how planning documents will be prepared. Local Development Documents (LDDs) contained within Local Development Frameworks (LDF) are progressively replacing the Local Plans and Supplementary Planning Guidance. Since the introduction of the changes to the planning system under the 2004 Act further revisions in procedures and requirements have been brought in under the Planning Act 2008 and associated regulations and also in the Planning Policy Statement 12 (Creating Strong, Safe and Prosperous Communities through Local Spatial Planning) 2008. However, now,

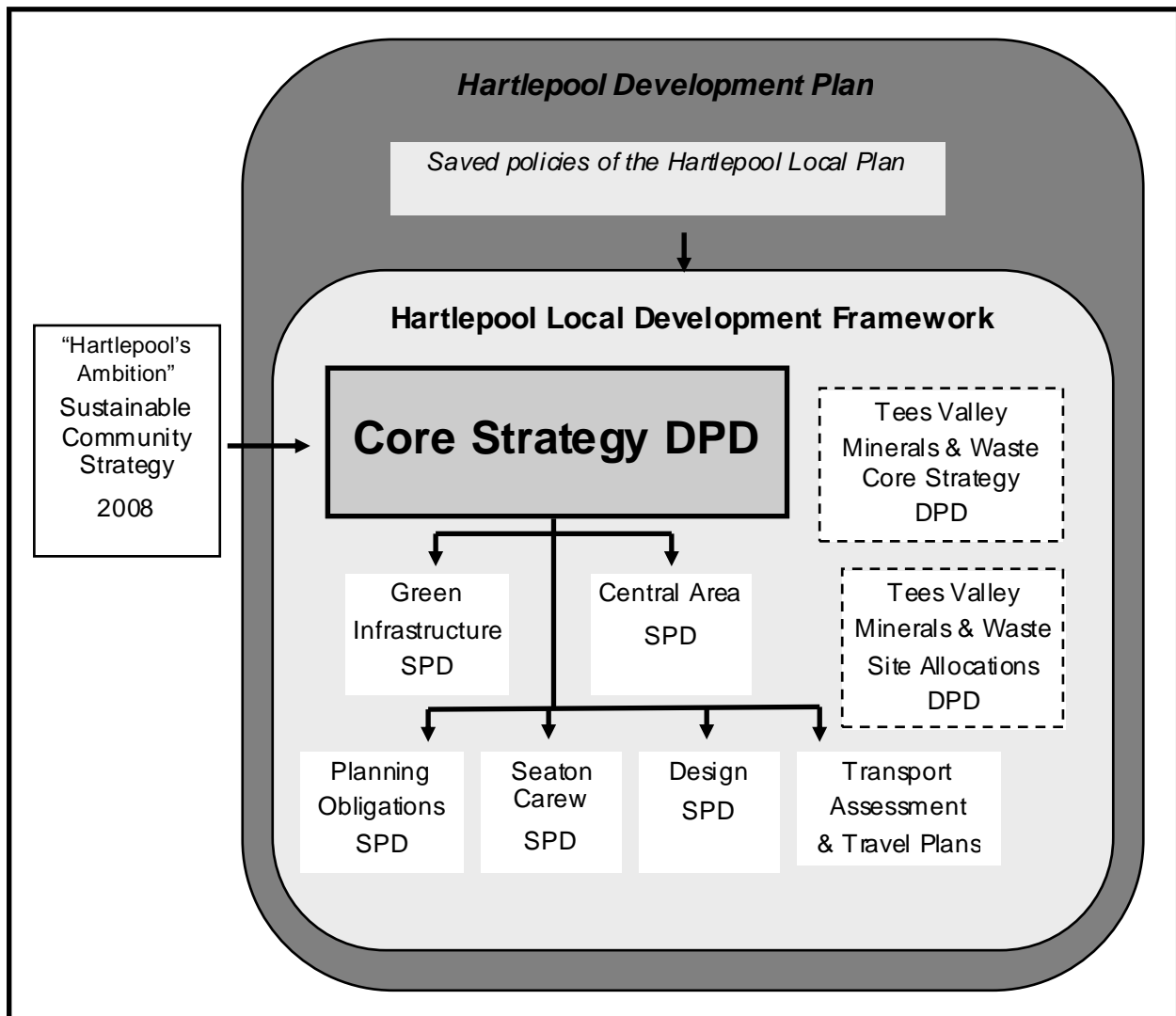
emerging new changes to the system look as if though the government are moving back towards a local plan system although regulations have yet to be finalised.

- 1.6 The Local Development Scheme describes the main features of the new planning system and then sets out the programme for the production of future planning policies. Important aspects related to the process for the development of planning policies are highlighted in sections 4 to 8 of the Scheme and the final section identifies circumstances in which the scheme will be reviewed.

2. THE DEVELOPMENT PLANNING SYSTEM

- 2.1 The Local Development Framework comprises a portfolio of Local Development Documents which together deliver the spatial planning strategy for the Hartlepool area (see Diagram 1 below). At present the Local Development Framework also includes saved policies from the Hartlepool Local Plan 2006.

Diagram 1: Local Development Framework Documents



2.2 The documents comprising the Local Development Framework include:

- This document – the **Local Development Scheme** (LDS) – sets out the details of each of the Local Development Documents to be commenced over the next three years or so and the timescales and arrangements for their preparation.
- **Development Plan Documents** (DPDs) – Form the statutory Development Plan and deliver the spatial planning strategy for the area. The Development Plan Documents will be subject to independent public examination.

The 2006 Hartlepool Local Plan will be superseded in due course by a number of different types of Development Plan Documents as follows:

- **Core Strategy** setting out the spatial vision, spatial objectives and core policies for the area;
- **Site Specific Allocations** of land such as housing and employment sites;
- **Action Area Plans** (where needed) relating to specific parts of the area where there will be comprehensive treatment or to protect sensitive areas
- **Proposals Map** which will be updated as each new DPD is adopted;
- **DPDs** containing waste and minerals policies;
- together with any other DPDs considered necessary.

All other DPDs must conform with the Core Strategy.

- **Supplementary Planning Documents** (SPDs) – these are non-statutory documents expanding on or providing further detail to policies in a development plan document – they can take the form of design guides, development briefs, master plans or issue-based documents. Although SPDs will be subject to full public consultation, they will not be independently examined.
- **Statement of Community Involvement** (SCI) – this sets out the policy for involving the community and key stakeholders both in the preparation and revision of local development documents and with respect to planning applications.
- **Annual Monitoring Report** – assessing the implementation of the local development scheme and the extent to which policies in local development documents are being achieved.

3. THE LOCAL DEVELOPMENT SCHEME

- 3.1 The first Local Development Scheme was prepared by the Council in March 2005 with reviews approved in subsequent years as outlined in paragraph 1.2.
- 3.2 This further review of the scheme sets out the revised programme for the Core Strategy. Diagrams 2 provides an overview of the timetable for the production of the Core Strategy.
- 3.3 Further details on the role and content of the Core Strategy, key dates relating to its production, arrangements for its preparation and review and monitoring are set out in Tables 1.

Saved Policies

- 3.4 The Act allows policies in Local Plans to be 'saved' for a period of at least three years from the date the Act came into force (September 2004) or in the case of plans adopted after then, from the date the plan is adopted (i.e. April 2006 for the Hartlepool Local Plan). New policies in development plan documents will progressively replace those saved in the Local Plan.
- 3.5 Appendix 2 lists the policies of the 2006 Hartlepool Local Plan which the Secretary of State has made a direction to save. These saved policies will thus continue to remain effective until the LDF policies are adopted.
- 3.6 The status of Supplementary Planning Guidance following the commencement of the new planning system remains the same as long as relevant saved policies are in place. It will continue to be a material consideration in terms of determining planning applications. The only currently adopted Supplementary Planning Guidance is the Greatham Village Design Statement. This is included in the 2006 Hartlepool Local Plan as a Supplementary Note and will be saved as part of that plan.

Statement of Community Involvement

- 3.7 The Borough Council's first document prepared under the new planning system was the Statement of Community Involvement (SCI). The SCI document sets out how the council intends to involve the community and other interested parties in the new planning system and provide standards for involving the community in all the different stages of the planning policy process and in the determination of planning applications.
- 3.8 All other local development documents will be prepared in accordance with the arrangements set out in the SCI.
- 3.9 The first SCI was submitted to the Secretary of State in January 2006 and was adopted on 26th October 2006. A review of the SCI was recently undertaken and the revised SCI was adopted in January 2010.

Development Plan Documents

- 3.10 The Borough Council has commenced the preparation of Development Plan Documents despite the 2006 Hartlepool Local Plan still providing an appropriate spatial strategy. Furthermore the Local Plan has taken forward those elements of the Hartlepool Community Strategy and the Hartlepool Local Transport Plan that concern physical development and use of land.
- 3.11 The preparation of Development Plan Documents will take account of the Hartlepool Sustainable Community Strategy “Hartlepool’s Ambition” (2008). The proposed Development Plan Documents including the Proposals Map, which will be revised as each new development document is prepared, are as follows:
- Core Strategy Development Plan Document
 - The Proposals Map
- 3.12 **Core Strategy Development Plan Document.** The Core Strategy DPD is the key element of the planning system for Hartlepool and all other development plan documents should be in conformity with it. The saved policies of the 2006 Hartlepool Local Plan provides a spatial strategy closely aligned to the Hartlepool Sustainable Community Strategy “Hartlepool’s Ambition” (August 2008) and at present remain a relevant consideration.
- 3.13 The Core Strategy will also now incorporate policies on Affordable Housing. The previous work to Preferred Options Stage on the Affordable Housing Development Plan Document will now be stopped and the information will be reflected within the Core Strategy as opposed to a separate DPD. This decision has been made following advice from Government Office and taking account of the similar timescales the two documents were running to. The need to include policies on affordable housing resulted from the Hartlepool Strategic Housing Market Assessment of June 2007 which highlighted a shortfall of affordable dwellings. The inclusion of a policy on affordable housing within the Core Strategy will help to address this shortfall in the Borough in the future. It will identify policies to secure provision of affordable housing as part of residential developments and contribute towards the development of a balanced housing market with maximised housing choice in Hartlepool. The need to update this LDS has resulted from a slippage in the timetable for the Core Strategy due to a number of local and national factors, most notably the emerging National Planning Policy Framework (NPPF).
- 3.14 **Proposals Map:** The Proposals Map for the 2006 Hartlepool Local Plan will be saved until the first development plan document is adopted at which time it will be amended to reflect the new development plan document and become a development plan document in its own right. It will continue to show saved policies and will be amended as each new development plan is adopted or amended.

Joint Development Plan Documents

- 3.15 There has been a need to update the waste policies contained in the 2006 Hartlepool Local Plan at an early date to reflect new priorities for sustainable waste management. Core Strategy and Site Allocations DPDs were adopted on the 15th September 2011 covering the 5 Tees Valley authorities.

Supplementary Planning Documents

- 3.16 Existing supplementary planning guidance can be used as the basis for the preparation of new supplementary planning documents.
- 3.17 The Greatham Village Design Statement was adopted as supplementary planning guidance in 1999 and is included as a Supplementary Note in the 2006 Hartlepool Local Plan. There are a number of other supplementary notes in the local plan covering a range of topic areas including trees, conservation, wildlife, planning obligations and parking standards.
- 3.18 There is one Supplementary Planning Document which is already adopted, that being:
- The Transport Assessment and Travel Plans SPD
- 3.19 An SPD for Victoria Harbour has been developed to an advanced stage, however, this SPD will no longer be completed following the decision in late 2009 by PD Ports to focus on the development of the renewable energy technologies on the Victoria Harbour site. Should any future decisions be made which would see Victoria Harbour develop as a mixed use development, the work which has been carried out would be used to inform and guide any proposals which come forward.
- 3.20 Other Supplementary Planning Documents currently either in production or due to begin this financial year include the following:
- Planning Obligations SPD
 - Hartlepool Green Infrastructure SPD
 - Hartlepool Central Area SPD
 - Seaton Carew Regeneration SPD
 - Design SPD
- 3.21 Given it is not a statutory requirement to include the SPD's within the LDS the decision has been taken to include the timetables for these in a separate document which can be monitored and kept up to date without the need to review the whole LDS.

Diagram 2: Timetable of Core Strategy Development Plan Document

Year	Mon	
2009	J	Preferred Options and Draft Policies
	A	
	S	
	O	
	N	
	D	
2010	J	Consultation on Preferred Options (Reg 25)
	F	
	M	
	A	Consideration of representations and changes to the Planning System under the new government
	M	
	J	
	J	
	A	
	S	
	O	
	N	Consultation on Preferred Options Version 2 (Reg 25)
	D	
2011	J	Consideration of Representations and National Policy Changes
	F	
	M	
	A	
	M	
	J	
	J	
	A	
	S	
	O	Drafting of Publication Document
	N	
	D	
2012	J	
	F	Council Approval for Publication Publication of DPD (Reg 27) Consultation on Published document
	M	
	A	Submission of DPD (Reg 30)
	M	
	J	Pre examination meeting Commencement of Public Examination
	J	
	A	
	S	Inspector's Report Fact Check Inspector's Final Report
	O	
		Adoption and revised proposals map

Table 1: CORE STRATEGY DPD	
OVERVIEW	
Role and content	To set out the vision and spatial strategy for Hartlepool and the objectives and primary policies for meeting the vision.
Geographical Coverage	Borough-wide
Status	Development Plan Document
Conformity	Must reflect the Hartlepool Community Strategy and be in line with National Planning Guidance.
TIMETABLE / KEY DATES	
Stage	Date
Production of Preferred Options (including Draft Policies) and sustainability report	March 2009 - December 2009
Consultation on Preferred Options (Eight Weeks) (Reg 25)	January – March 2010
Consideration of representations and changes to the planning system. Further discussions with community and key stakeholders	April – August 2010
The Council's Cabinet request a revised Preferred Options Document be published due to the abolition of the RSS and incorporation of Affordable Housing DPD into Core Strategy.	September 2010
Revised Preferred Options Document Published for consultation (eight weeks) (reg 25)	November 2010 – January 2011
Consideration of representations	January – September 2011
Drafting of Publication Document	October – December 2011
Publication of DPD and final sustainability report (Reg 27)	January 2012
Consultation on Published document	January – February 2012
Submission to Secretary of State of Core strategy (Reg 30)	April 2012
Pre examination meeting	June 2012
Commencement of Examination in Public	June / July 2012
Receipt of Inspector's Report for checking	August 2012
Inspector's Final report	September 2012
Adoption of DPD and revised proposals map	October 2012
ARRANGEMENTS FOR PRODUCTION	
Lead Organisation	Hartlepool Borough Council
Management arrangements	The management arrangements are set out in section 9. Key documents will be approved by Cabinet and ratified by full Council.
Resources Required	Primarily internal staffing resources with use of consultants if necessary for any special studies required
Community and Stakeholder Involvement	In accordance with the Statement of Community Involvement
POST PRODUCTION / REVIEW	

The effectiveness of the primary policies in relation to the vision and objectives of the core strategy will be assessed in the Annual Monitoring Report and where necessary reviewed. The Core Strategy DPD will be reviewed as a whole in the following circumstances:

- A further review of the Community Strategy
- A significant amendment to the Council's Corporate Vision

4. SUSTAINABILITY APPRAISAL

- 4.1 The Planning and Compulsory Purchase Act requires that Local Development Documents should contribute to the achievement of sustainable development. Furthermore, European Union (Strategic Environmental Assessment) Directive 2001/42/EC requires that a formal strategic environmental assessment is carried out for certain plans and programmes likely to have a significant effect on the environment including planning and land use documents.
- 4.2 Most Local Development Documents will therefore be subject to a Sustainability Appraisal which will incorporate the requirements of the Sustainable Environment Assessment (SEA). This will be a continual and integrated process starting when a new (or revised) local development document is to be prepared. Appraisal at each stage of a document's preparation will inform the direction adopted at the next stage and sustainability appraisal reports will be subject to consultation alongside the document as it is developed.

5. APPROPRIATE ASSESSMENT

- 5.1 Under the Conservation (Natural Habitats Etc) (Amendment) Regulations 2007, Development Plan Documents are subject to Appropriate Assessment screening process to enable the Local Planning Authority to ascertain that any Development Plan Document will not adversely affect the integrity of a European protected site. In the event of the screening process stage highlighting the impact on the integrity of a European site a full Appropriate Assessment will be carried out to indicate mitigation or necessary compensatory measures required to minimise the effects on the relevant protected site. Should a full Appropriate Assessment be required the date of the final adoption of the DPD will need to be adjusted accordingly.

6. LINKS TO OTHER STRATEGIES

- 6.1 Local Development Documents contained within the Local Development Framework should reflect the land use and development objectives of other strategies and programmes. The 2006 Hartlepool Local Plan was developed in close collaboration with in particular the Hartlepool Community Strategy and the Hartlepool Local Transport Plan and gives spatial expression to the elements of these and other strategies that relate to the development and use of land.
- 6.2 Development documents will also take account of and reflect other strategies and programmes - local, sub-regional and regional. A list of such strategies and programmes currently in place which may be of relevance is attached at Appendix 3.

7. EVIDENCE BASE

- 7.1 Local planning authorities are required to keep under review the main physical, economic, social and environmental characteristics of their area in order to inform the development of planning policies. Tees Valley Unlimited maintains much base information on behalf of the constituent Borough Councils, including in particular information on the size, composition and distribution of population and other matters covered by the Census of Population and Employment. In addition Hartlepool

Council maintains information on many other matters including the regular monitoring of housing and employment land availability and of new developments.

- 7.2 The planning system requires that Local Development Documents should be founded on sound and reliable evidence which will identify opportunities, constraints and issues in the area. Much of this evidence is already in place although some will need to be updated in relation to the preparation of local development documents.
- 7.3 In terms of on-going and proposed development of the evidence base, the Hartlepool Housing Regeneration Strategy was completed in mid 2005 and the Hartlepool Low Density Housing Study which examined high quality, low density housing and the effects of new housing development on migration and the socio-economic balance in the town was completed in July 2005. The Hartlepool Retail Study was updated in August 2009. The Hartlepool Strategic Housing Market Assessment was published in July 2007. A Strategic Flood Risk Assessment (in association with the other Tees Valley authorities) was completed in February 2007 but is currently being updated. Given the proposed abolition of the RSS a Housing Provision Paper (2010) has been produced to justify a yearly housing need for the town along with an Executive Housing Need Paper (2010) and a Housing Implementation Strategy (2010). To ensure all evidence is as up-to-date as possible a update of the Tees Valley Strategic Housing Market Assessment is currently being undertaken.
- 7.4 A list of current and proposed reports is attached at Appendix 4. The need for additional studies and updating of existing studies will be kept under review as part of the annual monitoring process.

8. MONITORING AND REVIEW

- 8.1 Monitoring and review are key aspects of the Government's "plan, monitor and manage" approach to planning and should be undertaken on a continuous basis.

Annual Monitoring Report

- 8.2 A requirement of the new planning system is to produce an Annual Monitoring Report to assess the implementation of the Local Development Scheme and the extent to which policies in Local Development Documents are being met. The first Annual Monitoring Report was published in December 2005 and subsequent reports issued in 2006, 2007, 2008, 2009 and most recently in December 2010.
- 8.3 The implementation of the Local Development Scheme is assessed in each annual monitoring report in terms of the extent to which the targets and key dates (milestones) for the preparation of local development documents have been met and to ensure the reasons for any failure to meet these are explained. Any adjustments required to the key milestones for document preparation will need to be incorporated in a subsequent review of the local development scheme.
- 8.4 The Annual Monitoring Report 2005 & 2006 assessed the policies of the 1994 Hartlepool Local Plan. The subsequent Annual Monitoring Reports assessed the policies of the 2006 Local Plan from April 2006 particularly in relation to the indicators and targets contained within that plan. The annual monitoring report also

assesses the impact of local plan policies on relevant national and regional/sub-regional indicators and targets.

- 8.5 As a result of the assessment of policies, the Annual Monitoring Report may highlight areas where policy coverage is insufficient or ineffective or where it does not accord with the latest national or regional policy. In this event it will suggest action that needs to be taken such as the early review of existing documents or preparation of new documents. As a consequence the local development scheme will be amended to reflect such action to amend the local development framework.

9. MANAGING THE PROCESS

- 9.1 The Local Development Scheme has been drawn up having regard to resources (both staff and financial), Council processes and an assessment of the likely interest of key stakeholders and the community. Nevertheless there are risks that the timetables set out in this document may slip, for instance through the reduced Council financial and staff resources. The risks have been assessed in this respect but given the size of the authority and its resources not all can be readily overcome.

Staff Resources

- 9.2 The prime responsibility for delivering the Local Development Framework lies with a small Planning Policy team within the Department of Regeneration and Neighbourhoods. This team has close working relationships with, and makes full use of the expertise and experience of other sections of the division including development control, regeneration, housing renewal, landscape, ecology and conservation.
- 9.3 In addition, the Planning Policy team, as in the past, will continue to liaise closely with officers of other divisions and departments within the council including in particular transport, countryside services and the Community Strategy teams.
- 9.4 Full use will be made of consultants to provide independent specialist advice or to undertake necessary studies contributing to the information base necessary for the preparation of local development documents.
- 9.5 An in-house multi-discipline team having expertise in the various aspects of sustainable development will carry out the sustainability appraisals although consideration will also be given in this respect to the use of consultants if necessary.

Financial Resources

- 9.6 Resources have been allocated within the Council's mainstream budget to cover the anticipated costs of initial work on local development documents. Provisional costs for future years have been factored into the Council's longer-term budget review. Housing Planning Delivery Grant has been used in the past to fund the use of consultants for the preparation of much of the evidence base, however under the coalition government this will no longer be an available source of revenue funding.

Programme Management

- 9.7 The current arrangements for the management of the forward planning process will continue. Basically this comprises weekly meetings of the Core Team and reporting to senior management as necessary. This team will also manage the programme for the production of local development documents.

Political Process

- 9.8 The planning system is increasingly being brought to the attention of Members with a view to their full involvement in the production of local development documents. This is being encouraged by the use of Seminars, regular reports to the Cabinet and Council and by the setting up of a Member's Group.
- 9.9 Decisions at key stages during the preparation of all the Local Development Documents (including those prepared jointly by the five Tees Valley Authorities) will be made by Cabinet and ratified by full Council.

Risk Assessment and Contingencies

- 9.10 The programme for the preparation and production of local development documents set out in the local development scheme is based on a realistic assessment of the capacity of the Council to undertake the work and of the extent and depth of the local community and stakeholder involvement and interest likely to be generated by each document. However, there are two main types of risk that could result in a failure to meet this programme. The first relates to resources (both human and financial) and the second to delays in the process primarily due to external factors.
- 9.11 As noted in paragraph 9.6 above, the Council has endeavoured to ensure that there will be sufficient financial resources made available within its budgetary framework. However, in view of the relatively small size of the Council and thus of its staff, the effect of, for example, redundancies as part of overall Council budget cuts, long-term sickness, of officers obtaining employment elsewhere or of other unforeseen work coming forward, is significant. Should any of these instances occur, whilst every effort would be made to meet the deadlines set, some delay may occur.
- 9.12 Account has been taken of the political process relating to the approval of planning documents at the various stages of production. Whilst the Council's formal scrutiny process provides an open forum for the consideration of issues, it is not possible to predict that Cabinet recommendations will be endorsed at Full Council.
- 9.13 The potential for a delay due to the inability of the Planning Inspectorate to undertake the Examination of Development Plan Documents at the programmed

time is minimised by the production of this Local Development Scheme and the associated service level agreement with the Inspectorate.

- 9.14 However, there are risks that adoption of a development plan document could be delayed if the Examination Inspector finds that it is unsound and recommends major changes, or if the Secretary of State intervenes on the basis that it raises issues of national or regional significance. The Council will therefore seek to ensure that the document is sound and conforms as necessary with national policy through close liaison with the Government Office. The risk of a legal challenge to a document will be minimised by ensuring that it has been produced in accordance with the regulations.
- 9.15 The uncertainty about the timing of certain major regeneration schemes and the possibility of new major strategic development coming forward from the private sector has impacted on the preparation of the Local Development Framework. The Council recognises this risk and will review the Local Development Scheme should this be necessary.

10. REVIEW OF THE LOCAL DEVELOPMENT SCHEME

- 10.1 The Local Development Scheme sets out the position with respect to the development of planning policies as it is envisaged at a particular point of time. It will normally be reviewed annually, but it can be readily reviewed when necessary. In particular it will need to be reviewed in the following circumstances:
- a slippage in the timetables caused by exceptional circumstances
 - when a need is identified for a new local development document
 - if monitoring establishes that an existing document should be reviewed.

APPENDIX 1

LIST OF ACRONYMS AND TECHNICAL TERMS USED IN THIS REPORT

Acronym	Expanded Name	Definition Explanation
AAP	Action Area Plan	A type of Development Plan Document relating to specific areas of major opportunity and change or conservation.
AMR	Annual Monitoring Report	Report submitted to Government on the progress of preparing the Local Development Framework and the extent to which policies are being achieved.
Circular		A government publication setting out policy approaches
Core Strategy	Core Strategy Development Plan Document	A Development Plan Document setting out the spatial vision and objective of the planning framework for the area, having regard in particular to the Community Strategy. All other development plan documents must conform with the core strategy.
Development Plan		Documents setting out the policies and proposals for the development and use of land and buildings. Under the new planning system it comprises the Regional Spatial Strategy and Development Plan Documents, whilst under the transitional arrangements it comprises the Structure Plan and Local Plan.
DPD	Development Plan Document	A local development document in the local development framework which forms part of the statutory development plan. The core strategy, documents dealing with the allocation of land, action area plans and the proposals map are all development plan documents.
LDD	Local Development Document	An individual document in the Local Development Framework. It includes Development Plan Documents, Supplementary Planning Documents and the Statement of Community Involvement.
LDF	Local Development Framework	The overarching term given to the collection of Local Development Documents which collectively will provide the local planning authority's policies for meeting the community's economic, environmental and social aims for the future of the area where this affects the development and use of land and buildings. The LDF also includes the Local Development Scheme and the Annual Monitoring Report.
LDS	Local Development Scheme	A public statement setting out the programme for the preparation of local development documents. Initially it will also identify the programme for the completion of the local plan and also which policies of the local and structure plan are to be saved and/or replaced.
Local Plan		A statutory development plan prepared under previous legislation, or being prepared under the transitional arrangements of the new Act.

Acronym	Expanded Name	Definition Explanation
National policy		Government policy contained within Planning Policy Guidance (PPG) and Planning Policy Statements (PPS).
NPPF	National Planning Policy Framework	This emerging document will in time replace the PPG's and PPS's and will provide policy guidance on a national level.
PPG	Planning Policy Guidance	Government documents providing policy and guidance on a range of planning issues such as housing, transport, conservation etc. PPGs are currently being replaced by Planning Policy Statements.
PPS	Planning Policy Statements	Government documents replacing PPGs and designed to separate policy from wider guidance issues.
Proposals Map		Illustrating on an Ordnance Survey base the policies and proposals of development plan documents and any 'saved' policies of the local plan.
RPG	Regional Planning Guidance	Planning policy and guidance for the region issued by the Secretary of State. RPG became the Regional Spatial Strategy upon commencement of the Act.
RSS	Regional Spatial Strategy	Prior to revocation, was the statutory regional planning policy forming part of the Development Plan and prepared by the regional planning body.
Saved Policies		Policies within the Local Plan and the Structure Plan that remain in force for a time period pending their replacement as necessary by development plan documents.
SA	Sustainability Appraisal	Identifies and evaluates social, environmental and economic effects of strategies and policies in a local development document from the outset of the preparation process. It incorporates the requirements of the Strategic Environmental Assessment (SEA) Directive.
SCI	Statement of Community Involvement	Sets out the standards to be achieved in involving the community and other stakeholders in the preparation, alteration and review of local development documents and in significant development control decisions
SEA	Strategic Environmental Assessment	A generic term used internationally to describe environmental assessment as applied to policies, plans and programmes
SPD	Supplementary Planning Document	A local development document providing further detail of policies in development plan documents or of saved local plan policies. They do not have development plan status.

Acronym	Expanded Name	Definition Explanation
SPG	Supplementary Planning Guidance	Provide additional guidance expanding policies in a local plan. SPGs will remain relevant where they are linked to saved policies but will ultimately be replaced by supplementary planning documents.
Structure Plan		A statutory development plan which previously set out strategic policies for environmental protection and development and providing the more detailed framework for local plans. The Tees Valley Structure Plan was superseded by the Regional Spatial Strategy.
The Act	Planning and Compulsory Purchase Act 2004	Government legislation introducing a new approach to development planning.
Transport Assessments		A process setting out transport issues relating to a proposed development identifying measures to be taken to improve accessibility and safety for all modes of travel, particularly alternatives to the car. Such as walking, cycling & public transport
Travel Plans		A package of measures to assist in managing transport needs of an organisation principally to encourage sustainable modes of transport and enable greater travel choice.
Transitional Arrangements		Government regulations describing the process of development plans begun before, and to be completed after, the Planning and Compulsory Purchase Act 2004

APPENDIX 2

Schedule of Hartlepool Local Plan Saved Policies

Direction Under Paragraph 1(3) of the Schedule to the Town & Country Planning Act 2004
Policies contained in the Hartlepool Local Plan including Waste & Minerals Policies

18 December 2008

GENERAL ENVIRONMENTAL PRINCIPLES

GEP1	General Environmental Principles
GEP2	Access for All
GEP3	Crime Prevention by Planning and Design
GEP7	Frontages of Main Approaches
GEP9	Developers' Contributions
GEP10	Provision of Public Art
GEP12	Trees, Hedgerows and Development
GEP16	Untidy Sites
GEP17	Derelict Land Reclamation
GEP18	Development on Contaminated Land

INDUSTRIAL AND BUSINESS DEVELOPMENT

Ind1	Wynyard Business Park
Ind2	North Burn Electronics Components Park
Ind3	Queens Meadow Business Park
Ind4	Higher Quality Industrial Estates
Ind5	Industrial Areas
Ind6	Bad Neighbour Uses
Ind7	Port-Related Development
Ind8	Industrial Improvement Areas
Ind9	Potentially Polluting or Hazardous Developments
Ind10	Underground Storage
Ind11	Hazardous Substances

RETAIL, COMMERCIAL AND MIXED USE DEVELOPMENT

Com1	Development of the Town Centre
Com2	Primary Shopping Area
Com3	Primary Shopping Area – Opportunity Site
Com4	Edge of Town Centre Areas
Com5	Local Centres
Com6	Commercial Improvement Areas
Com7	Tees Bay Mixed Use Site
Com8	Shopping Development
Com9	Main Town Centre Uses
Com10	Retailing in Industrial Areas
Com12	Food and Drink
Com13	Commercial Uses in Residential Areas
Com14	Business Uses in the Home
Com15	Victoria Harbour/North Docks Mixed Use Site
Com16	Headland – Mixed Use

TOURISM

To1	Tourism Development in the Marina
To2	Tourism at the Headland
To3	Core Area of Seaton Carew
To4	Commercial Development Sites at Seaton Carew
To6	Seaton Park
To8	Teesmouth National Nature Reserve
To9	Tourist Accommodation
To10	Touring Caravan Sites
To11	Business Tourism and Conferencing

HOUSING

Hsg1	Housing Improvements
Hsg2	Selective Housing Clearance
Hsg3	Housing market Renewal
Hsg4	Central Area Housing
Hsg5	Management of Housing Land Supply
Hsg6	Mixed Use Areas
Hsg7	Conversions for Residential Uses
Hsg9	New Residential Layout – Design and Other Requirements
Hsg10	Residential Extensions
Hsg11	Residential Annexes
Hsg12	Homes and Hostels
Hsg13	Residential Mobile Homes
Hsg14	Gypsy Site

TRANSPORT

Tra1	Bus Priority Routes
Tra2	Railway Line Extensions
Tra3	Rail Halts
Tra4	Public Transport Interchange
Tra5	Cycle Networks
Tra7	Pedestrian Linkages: Town Centre/ Headland/ Seaton Carew
Tra9	Traffic Management in the Town Centre
Tra10	Road Junction Improvements
Tra11	Strategic Road Schemes
Tra12	Road Scheme: North Graythorp
Tra13	Road Schemes: Development Sites
Tra14	Access to Development Sites
Tra15	Restriction on Access to Major Roads
Tra16	Car Parking Standards
Tra17	Railway Sidings
Tra18	Rail Freight Facilities
Tra20	Travel Plans

PUBLIC UTILITY AND COMMUNITY FACILITIES

PU3	Sewage Treatment Works
PU6	Nuclear Power Station Site
PU7	Renewable Energy Developments

PU8	Telecommunications
PU10	Primary School Location
PU11	Primary School Site

DEVELOPMENT CONSTRAINTS

Dco1	Landfill Sites
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RECREATION AND LEISURE

Rec1	Coastal Recreation
Rec2	Provision for Play in New Housing Areas
Rec3	Neighbourhood Parks
Rec4	Protection of Outdoor Playing Space
Rec5	Development of Sports Pitches
Rec6	Dual Use of School Facilities
Rec7	Outdoor Recreational Sites
Rec8	Areas of Quiet Recreation
Rec9	Recreational Routes
Rec10	Summerhill
Rec12	Land West of Brenda Road
Rec13	Late Night Uses
Rec14	Major Leisure Developments

THE GREEN NETWORK

GN1	Enhancement of the Green Network
GN2	Protection of Green Wedges
GN3	Protection of Key Green Space Areas
GN4	Landscaping of Main Approaches
GN5	Tree Planting
GN6	Protection of Incidental Open Space

WILDLIFE

WL2	Protection of Nationally Important Nature Conservation Sites
WL3	Enhancement of Sites of Special Scientific Interest
WL5	Protection of Local Nature Reserves
WL7	Protection of SNCIs, RIGSs and Ancient Semi-Natural Woodland

CONSERVATION OF THE HISTORIC ENVIRONMENT

HE1	Protection and Enhancement of Conservation Areas
HE2	Environmental Improvements in Conservation Areas
HE3	Developments in the Vicinity of Conservation Areas
HE6	Protection and Enhancement of Registered Parks and Gardens
HE8	Works to Listed Buildings (Including Partial Demolition)
HE12	Protection of Locally Important Buildings
HE15	Areas of Historic Landscape

THE RURAL AREA

Rur1	Urban Fence
Rur2	Wynyard Limits to Development
Rur3	Village Envelopes
Rur4	Village Design Statements

Rur5	Development At Newton Bewley
Rur7	Development in the Countryside
Rur12	New Housing in the Countryside
Rur14	The Tees Forest
Rur15	Small Gateway Sites
Rur16	Recreation in the Countryside
Rur17	Strategic Recreational Routes
Rur18	Rights of Way
Rur19	Summerhill- Newton Bewley Greenway
Rur20	Special Landscape Areas

MINERALS

Min1	Safeguarding of Mineral Resources
Min2	Use of Secondary Aggregates
Min3	Mineral Extraction
Min4	Transport of Minerals
Min5	Restoration of Mineral Sites

WASTE

Was1	Major Waste Producing Developments
Was2	Provision of 'Bring' Recycling Facilities
Was3	Composting
Was4	Landfill Developments
Was5	Landraising
Was6	Incineration

APPENDIX 3

STRATEGIES AND PROGRAMMES TO BE CONSIDERED

REGIONAL STRATEGIES:

- Making It Happen: The Northern Way -Feb. 2004
- Regional Spatial Strategy (July 2008)
- North East Regional Housing Strategy - July 2005
- Regional Economic Strategy - Unlocking our Potential

SUB REGIONAL STUDIES / STRATEGIES

- Tees Valley Vision
- Tees Valley Living - Building Sustainable Communities in Tees Valley
- Tees Valley Sub Regional Housing Market Renewal Strategy (January 2006)
- Tees Valley Sub-Regional Housing Strategy (under preparation)
- The Tees Valley Forest Plan 2000
- Tees Valley Biodiversity Plan
- Joint Waste Management Strategy for Hartlepool, Middlesbrough, Redcar & Cleveland and Stockton-on-Tees Borough Councils.
- Hartlepool Cycling Strategy
- Tees Valley Tourism Strategy - February 2003
- Coastal Arc Strategy (Phase 1 – 2004-07, Updated 2006-2008)
- Business Link Tees Valley Plan
- Tees Estuary Management Plan
- Cleveland Police Policing Plan
- Strategic Flood Risk Assessment (2007)
- Tees Valley Strategic Housing Market Assessment (2008) (currently being updated)
- North Tees & South Tees Study

LOCAL STRATEGIES AND PROGRAMMES

Generic

- Hartlepool Community Strategy (Review 2007/09)
- Neighbourhood Renewal Strategy
- Neighbourhood Action Plans

Housing

- Hartlepool Strategic Housing Market Assessment (2007)
- Hartlepool Housing Regeneration Strategy (May 2005)
- Hartlepool Housing Strategy
- NDC Community Housing Plan (2003)
- North Central Hartlepool Masterplan (August 2004)

Jobs and the Economy

- Hartlepool Economic Strategy
- Hartlepool Central Area Investment Framework (2008)
- Southern Business Zone Investment Framework (February 2009)

Tourism

- Hartlepool Tourism Strategy - March 2004
- Seaton Carew Tourism Strategy: 2003 – 2008

Environment and the Arts

- Shoreline Management Plan 1999 Seaham Harbour to Saltburn by the Sea
- Longhill and Sandgate Industrial Estate Landscape Masterplan
- Contaminated Land Strategy
- Hartlepool's Cultural Strategy (April 2003)
- Headland Environmental Improvement and Public Art Strategy

Transport

- Hartlepool Local Transport Plan 2011 – 2026

Recreation

- Hartlepool Playing Pitch Strategy
- PPG17 Open Space Assessment 2008
- Sports Development Strategy
- Hartlepool Rights of Way Strategy
- Outdoor Equipped Play Facilities Strategy 2001

Lifelong Learning

- Connexions Strategy
- Cleveland College of Art & Design Strategic Plan
- Hartlepool Adult Learning Plan
- Hartlepool College of Further Education Strategic Plan
- Hartlepool Education Development Plan
- Hartlepool Library Plan
- Hartlepool Sixth Form College Strategic Plan
- Hartlepool Youth Service Strategy
- Learning & Skills Council Tees Valley Strategic Plan

Health

- Vision for Care
- Hartlepool CHD Strategy
- Hartlepool Public Health Strategy
- Hartlepool Teenage Pregnancy Strategy
- Hartlepool Drug Action Team Strategy

Community Safety

- Hartlepool Community Safety Strategy

APPENDIX 4

REPORTS CONTRIBUTING TO THE EVIDENCE BASE FOR NEW LOCAL DEVELOPMENT DOCUMENTS

HOUSING AND HOUSING REGENERATION

Hartlepool Housing Dynamics Study (NLP)	April 2000
Hartlepool Housing Aspirations Study (NLP)	December 2002
West Central Hartlepool NDC Housing Study (NLP)	2000
West Central Hartlepool NDC Options Report (NLP)	March 2002
Hartlepool Housing Urban Capacity Study (C/RG)	May 2002
NDC Community Housing Plan (NLP/SRB)	May 2003
NDC Area Assessment Report (HA)	August 2004
North Central Hartlepool Masterplan	August 2004
Victoria Harbour Housing Demand Study (RTP)	June 2004
Hartlepool Low Density Housing Study (NLP)	July 2005
Hartlepool Housing Regeneration Strategy (NLP)	Mid 2005
Regional Housing Aspirations Study	March 2005
Hartlepool Strategic Housing Market Assessment (DC)	June 2007
Tees Valley Strategic Housing Market Assessment	December 2008
Hartlepool Strategic Housing Land Availability Assessment	August 2009

ECONOMY

Tees Valley Strategic Employment Land Review (JSU)	Draft May 2003-
Hartlepool Employment Land Review	December 2008
'Strategic Improvements to Hartlepool Southern Business Zone'(Ec)	February 2009
Central Area Investment Framework (Gn)	March 2009
Hartlepool Retail Study (DJ)	August 2009
North Tees South Tees Study (PB)	Autumn 2009

ENVIRONMENT

Hartlepool Landscape Assessment	November 1999
Local Air quality management action plan	
National Land Use Database	March 2009
Sustainability Appraisal Scoping Report	October 2007
Strategic Flood Risk Assessment (JBA)	February 2007
Strategic Flood Risk Assessment (JBA) Update	Summer 2009

RECREATION AND LEISURE

Outdoor Equipped Play Facilities Strategy	2001
Audit and Assessment of Allotment Provision in Hartlepool	May 2004
Playing Pitch Strategy	March 2004
Multi-Use Games Area Strategy	April 2006
PPG 17 Audit of Open Space (CS)	2008
Hartlepool Sports Facilities Strategy	Commenced Dec 2006

NLP	Nathaniel Lichfield & Partners	C/RG	Chesterton and Ron Grieg
SRB	Social Regeneration Consultants	HA	Halcrow Group
RTP	Roger Tym and Partners	JSU	Tees Valley Joint Strategic Unit
DJ	Drivers Jonas	Ec	Ecotech
Gn	Genecom	JBA	JBA Consulting
DC	David Cumberland	CS	Capita Symonds
PB	Parsons Brinckerhoff		

CABINET REPORT

24th October 2011



Report of: Director of Regeneration and Neighbourhoods

Subject: NORTH EAST RETROFIT PROJECT

SUMMARY

1. PURPOSE OF REPORT

To provide detail of a project being led by Newcastle City Council to retrofit energy efficiency measures to housing which all Councils in the north east of England have been invited to join.

To recommend Members agree to not join the project at this point, but retain the option to join at a later date.

2. SUMMARY OF CONTENTS

The report provides an outline of the findings of a feasibility study on retrofitting of energy efficiency measures on housing in the north east of England. The study concluded that a partnership approach is required in order to retrofit a large number of homes in the private and social housing sectors. There are financial and reputational risks associated with the project which are outlined in the report.

3. RELEVANCE TO CABINET

This paper relates to two objectives in the Corporate Plan and Community Strategy, namely environment and health and well-being.

4. TYPE OF DECISION

Key Decision

Forward Plan reference Number RN 86/11

5. DECISION MAKING ROUTE

Cabinet on 24th October 2011.

6. DECISION(S) REQUIRED

Cabinet is asked to agree to not join the project at this point, but retain the option to join at a later date

Report of: Director of Regeneration and Neighbourhoods

Subject: NORTH EAST RETROFIT PROJECT

1. PURPOSE OF REPORT

- 1.1 To provide detail of a project being led by Newcastle City Council to retrofit energy efficiency measures to housing which all Councils in the north east of England have been invited to join.
- 1.2 To recommend Members agree to not join the project at this point, but retain the option to join at a later date.

2. BACKGROUND

- 2.1 The project arose from discussions in 2010 regarding borrowing substantial sums of money from the ELENA fund and the European Investment Bank for large scale Carbon reduction programmes. The feasibility work for the project has been undertaken with the agreement of Elected Mayors/Leaders in Region, has been part-funded by the Regional Improvement Efficiency Partnership and led as a pathfinder by Newcastle City Council (NCC).
- 2.2 The project was scheduled to be discussed at the meeting of Chief Executives on 12th September and at the Elected Mayors/Leaders meeting on 23rd September.

3. SUMMARY OF THE PROJECT AND PROJECT PHASING

- 3.1 The aim of the project is to retrofit houses (privately owned and the social rented sector) to make them more fuel efficient and so lower fuel poverty rates, improve health and reduce CO₂ emissions. The project should help the Council to meet its Covenant of Mayors target (20% reduction in CO₂ emissions by 2020).
- 3.2 The key drivers as identified by NCC are increasing energy costs, supporting the vulnerable and fuel poor, and Carbon reduction commitments.
- 3.3 The proposed project would have a project development phase followed by two main implementation phases.

Project development

Marksman Consultants on behalf of NCC have estimated the project development costs to be £1.565m, it is proposed that this is split as follows:

- NCC provide £100,000 from their corporate revenue funds which will be reimbursed from income generated by the project;
- A bid for European funds (Intelligent Energy Europe) has been submitted for £1.1m, the IEE has responded in writing to say that it is minded to approve the bid, however a firm decision may not be provided until November 2011. This money will assist in covering procurement costs. It is not clear where this sum of money will come from if the bid is unsuccessful.
- £0.365m will be required as match funding (IEE requires match funding) from councils participating in the project. This will be repaid from the Green Deal payments.

Each Council has been asked to consider contributing up to £50k to the initial set up costs, this amount may be lower dependant upon the number of Councils committing to the project at this early stage. Further funding (a proportion of the £60m mentioned below) will be required at a later date. The expectation is that the later contribution would also be recouped through the project. It should be noted that the project is not expected to be profit making for Councils, nor is it designed to have an overall cost.

It should also be noted that if for any reason the project did not go ahead the IEE would require repayment of their £1.1m.

Phase 1

The feasibility study concluded that phase 1 would need to be approximately £80m to be viable. This requires a 15,000 house programme given modelled costs of an average cost of about £5,500 per house, based on the mix of houses and required measures.

It is proposed that £60m could be raised by Councils using prudential borrowing (or other sources of funding). Participating Councils will be expected to estimate the number of homes they realistically consider can be retrofitted in their area, their contribution to the £60m will be proportional and based on this estimate. It is anticipated that at least 4,000 of the first 15,000 homes will be in Newcastle.

The remaining £20-25m would be delivered into the project from the Green Deal (via energy bill payments), the Feed in Tariff, and Energy Company Obligations from the main energy suppliers and which will be used specifically as subsidies for hard to treat homes.

This phase is expected to run from 2013 to 2016, timed to minimise the gap between current insulation schemes phasing out and the introduction of the Government's Green Deal.

Phase 2

Once the first phase of the project is demonstrably working and is providing an income stream from the energy bill payments, the income stream can be sold. This could involve accessing commercial sector off-balance sheet finance so further houses can be retrofitted without the need for significant prudential borrowing.

An alternative refinance programme is being explored, discussions are taking place with DECC regarding the possibility of establishing a 'Local Authority Green Warehouse' on a not for profit basis. Discussions are also ongoing with Birmingham, Edinburgh and Manchester Councils about the idea, each of the projects would invest their £60-100m into this warehouse. This would be the source of the funding for phase 2 of the project.

4.0 OPTIONS FOR COUNCIL INVOLVEMENT IN THE PROJECT

4.1 Initial partner

Those councils joining the project now will provide finance and will contribute towards or underwrite the procurement costs. The amount required would be up to £50k, dependant upon the number of Councils committing to the project at this stage. Costs are expected to be refundable through the Green Deal financing process.

Councils are expected to provide a reasonable estimate of the number of houses in their area which they consider suitable for retrofitting. This estimate can be modified and confirmed later in the project. Estimates will be aggregated and will form the basis of discussions with other stakeholders such as Registered Providers of social housing and potential client authorities.

Initial partner councils will not be directly penalised if the target number of houses retrofitted is not achieved. They will however share in any collective under-recovery of start up costs associated with the lower take up. An aggregate approach will also be taken to bad debts relating to the properties so the risks are shared amongst partner councils.

4.2 Join later

Councils will have the opportunity to join the programme at a later date; they will be required to pay a 'joining fee' per house to the financing vehicle. These councils will bear 100% of the bad debt risks within their area.

If Cabinet decide to join now or at a later date NCC have requested councils inform them so that they can be named in the OJEU notice.

4.3 Client authority

Councils may be a client authority so purchasing from the consortium rather than being part of it. Client authorities will not be consulted during the procurement process and will be expected to enter into an agreement directly with the financing vehicle prior to the start of phase 1.

4.4 No involvement

Cabinet may decide that it does not want the Council to be involved in this project at any stage. Members may wish to note that Stockton Borough Council has taken this decision.

4.5 Alternative

Although the detail of the Government's Green Deal is still emerging, it would appear that the Council could follow an alternative option and become an approved advisor and installer. This would potentially provide an income stream. It is not yet known whether this role is compatible with joining with the Newcastle led project.

5. BENEFITS

5.1 If the project is successful the potential benefits as identified by Newcastle City Council include:

- Economic benefits to residents through reduced energy costs and help to those facing fuel poverty, these savings will be available to be spent locally;
- Employment, skills and economic capacity will be safeguarded as activities carried out through other already existing grant based schemes begin winding down;
- Significant reductions in carbon emissions and an increase in the amount of renewable energy generated would result in environmental and health benefits.
- Health and well being improvements for residents by increased disposable incomes and reducing the health risks associated with cold and damp homes.

5.2 A further benefit of the scheme should be reduced CO₂ emissions contributing to meeting the Council's Covenant of Mayors target of reducing emissions by more than 20% by 2020.

5.3 Many of these benefits are dependant upon the detail of the Government's Green Deal which is still emerging.

5.4 The scheme is designed to be cost neutral to participating Councils.

5.5 Cabinet may consider there is a moral obligation to take a community leadership role in this project, to improve the energy efficiency of housing of all types and tenures in the borough, potentially reduce

energy costs for residents and reduce Carbon emissions from the borough.

6.0 RISKS

General risks

- 6.1 The project is closely linked to emerging Government policy. Marksman Consultants have links with DECC and the DECC Minister Greg Barker has confirmed to them that the proposal fits with the thinking on the forthcoming Green Deal legislation. There is a possibility though that the policy may change shape as the project is being finalised. This may put the finances of the project at risk.
- 6.2 The financial model which Marksman have prepared for Newcastle City Council is based upon a number of assumptions, mainly because the Government policy the project relies on is still emerging. If any of these assumptions are incorrect it could lead to potential financial loss. Further work is required to subject the model to sensitivity analysis to properly quantify the costs and benefits of different scenarios; for example it may be that the sensitivity analysis reveals that minor changes to assumptions could result in the scheme not being viable.
- 6.3 The success of the project relies upon householders signing up to energy efficiency measures being installed in their homes. There is a possibility that take up may be lower than modelled.

Reputational risk

- 6.4 The key 'selling point' to the householder is that installing energy efficiency measures in their homes ought to lead to lower energy bills. However there is a risk that the householder will use more energy as they will have central heating to heat the whole house rather than one electric fire heating a room for example. This should be noted as a reputational risk to the Council.

Financial considerations

- 6.5 As noted above, the project is designed to be cost neutral for participating Councils. Two diagrams are provided below to illustrate the flows of money through the project.

Diagram 1. Operating model.

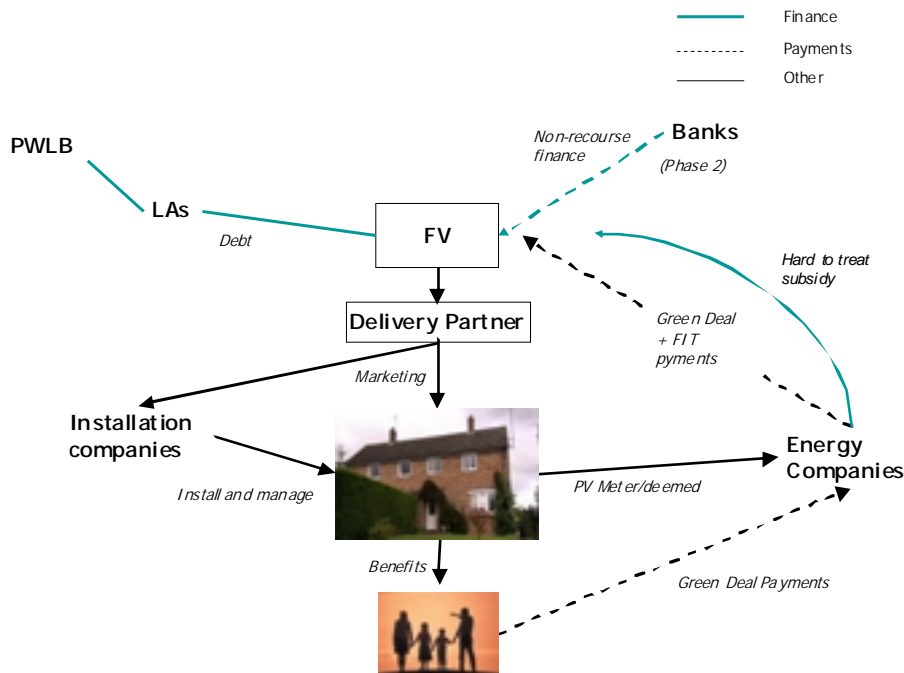
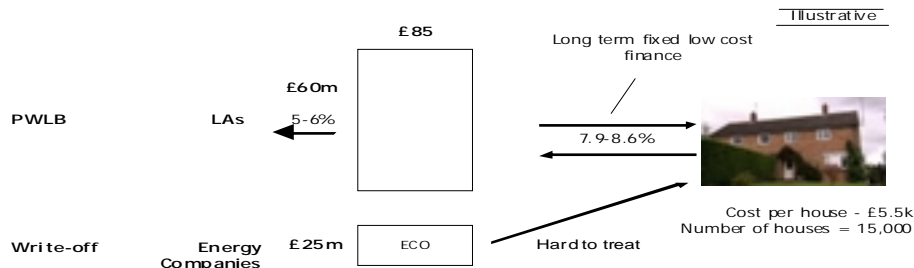


Diagram 2. Initial funding programme



2

- 6.6 As outlined in 4.1 above, if the Council were to join the project at this initial stage, there would be a financial commitment required of up to £50k. Further feasibility work is required to assess the viability of the project, if this work illustrates it is unviable the initial outlay of up to £50k could be lost.

Hartlepool Compact

- 6.7 No risks have been identified with regard to the Hartlepool Compact.

Legal considerations

- 6.8 As stated above, the Green Deal may provide the Council with an opportunity to generate income through the provision of advice and

installation of energy efficiency measures. This potential income generating activity is still at the early stages of consideration until such time as the Government provides more detail on the Green Deal.

- 6.9 There does not appear to be any legal restriction on the Council becoming an approved advisor and installer under the scheme however it is unclear from the information provided by NCC where and how the Council could provide advisor and installation services (regardless of whether they entered into the Newcastle led scheme).
- 6.10 NCC will manage the procurement process and the appointment of a delivery partner for the scheme on behalf of the partnering authorities. Whilst the Council (along with the other partnering authorities) will not be directly involved in the procurement of the delivery partner, NCC have stated they will consult the partnering authorities at key points in the procurement process.
- 6.11 It would appear from the information provided by Marksman that the Council could not deliver a scheme under the Green Deal completely in-house.
- 6.12 If the Council decided to proceed without NCC it is questionable whether the Council would have sufficient housing stock to attract a strong delivery partner and the Council could not run the scheme in-house (for the aforementioned reasons). A possible option for the Council to provide facilities management services in this scenario would be if the Council managed to attract a strong delivery partner who then agreed to sub-contract the facilities management services back to the Council.
- 6.13 Please note, the report provided by NCC clearly states that the final terms of the relevant legislation are not yet in place and that they will be appointing legal and financial advisers to advise further on the specific aspects of the scheme and it is therefore subject to change

Equality and diversity considerations

- 6.14 There are no equality and diversity considerations.

Asset management considerations

- 6.15 There are no asset management considerations.

7.0 Conclusion

Overall the scheme appears to be very risky because of the complexity of the model, the assumptions which it relies upon and the lack of detail known about the Government's Green Deal. The Council can not afford to take excessive risks with its finances in the current climate, therefore it seems wise to consider joining at a later date when the details have been worked through and the scheme can be seen to operating successfully.

Joining the project after the initial phase would have financial implications as explained in 4.2, that the Council would be required to pay a joining fee and would be liable for the bad debt risk in the borough.

8.0 RECOMMENDATIONS

- 8.1 Cabinet is recommended to not join the project at this initial stage. The main reason for this recommendation is that the project is heavily reliant upon a Government scheme which has not yet been fully developed and the risks noted in section 5 above.
- 8.2 Cabinet is asked to express a desire to reserve the right to join at a later date. This option will enable the Council to be named in the OJEU notice, without any commitment or risk.

9.0 CONTACT OFFICER

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CABINET REPORT

24th October 2011



Report of: Director of Regeneration and Neighbourhoods

Subject: REGENERATION AND PLANNING 2012/13
SAVINGS

SUMMARY

1. PURPOSE OF REPORT

To inform Cabinet of the full review of all services carried out within the Regeneration and Planning Division.

2. SUMMARY OF CONTENTS

A short report summarises the proposals contained within each of the service areas.

3. RELEVANCE TO CABINET

The report details one of the reviews which forms part of the 12 / 13 Savings Programme, and is therefore relevant for a Cabinet decision.

4. TYPE OF DECISION

Key Decision (test (i) applies) Forward Plan reference Number
RN79/11, RN80/11, RN81/11

5. DECISION MAKING ROUTE

Cabinet 24th October 2011.

6. DECISION(S) REQUIRED

Cabinet are requested to agree the proposals for the achievement of the £634k Savings which are summarised in Section 7 (Financial Consideration) of the main report.

Report of: Director of Regeneration and Neighbourhoods

Subject: REGENERATION AND PLANNING 2012 / 13
SAVINGS

1. PURPOSE OF REPORT

- 1.1 To inform Cabinet of the full review of all services carried out within the Regeneration and Planning Division.

2. BACKGROUND

A - PUBLIC PROTECTION SECTION

- 2.1 The section comprises 3 teams, namely Trading Standards and Licensing, Commercial Services and Environmental Protection.

Trading Standards

- 2.2 Trading Standards is a statutory service responsible for the administration and enforcement of an extremely wide range of consumer protection legislation that includes underage sales, product safety, consumer credit (including loan sharks), rogue traders (such as cowboy builders etc), weights and measures, false and misleading descriptions and counterfeiting. In many cases it is the only enforcement body that can investigate and prosecute for offences relating to these matters.

Licensing

- 2.3 All of the Licensing team's responsibilities are either statutory requirements or enforcement of regulatory provisions adopted by the Authority. This covers the administration and enforcement of Licensing and Gambling Acts and the licensing of taxis and private hire vehicles.

Environmental Health

- 2.4 Again, much of this service area is covered by statutory requirements on Local Authorities. The service is delivered by 2 teams; commercial services and environmental protection. The services provided are:

2.4.1 Commercial Services

The Commercial Services Team is responsible for enforcement work related to all aspects of food safety and standards legislation, health and safety at work, animal health and feed hygiene legislation, smoke free legislation and port health functions all of which are statutory.

Other statutory services delivered by the team include investigation of notifiable diseases (including food poisoning), public health functions including investigation of statutory nuisance or drainage issues relating to commercial premises, monitoring water quality and acting as a Responsible Authority for Public Safety in relation to the Licensing Act 2003.

2.4.2 Environmental Protection

The Environmental Protection team is responsible for statutory functions relating to noise, environmental pollution control, and non statutory services of pest control and markets.

2.5 **B - HOUSING SERVICES**

2.5.1 Consideration has been given to the ways in which Housing Service can achieve necessary savings to contribute towards the Department's overall savings targets.

2.5.2 Consideration has been given to those services which have to be undertaken statutorily, those services which are funded by grant or Child and Adult Services and other services which are provided which are non statutory and could be delivered differently to achieve savings.

2.5.3 Therefore to continue the drive to improve standards it is proposed that the Landlord/Tenant function is enhanced and the Housing Standards Officer generic roles become fully responsible for Selective Licensing enforcement.

2.5.4 Priority outcomes relating to the service areas include:-

- Improving the balance, range, quality and volume of housing supply.
- The quality of existing housing has been improved
- Vulnerable people have improved access to accommodation which meets their need
- Improving the efficiency and effectiveness of the organisation.

2.6 **C - ECONOMIC DEVELOPMENT, REGENERATION, PLANNING SERVICE AND BUILDING REGULATIONS**

2.6.1

- Development Control
- Planning Enforcement
- Landscape Management and Planning including Arboriculture and Ecology
- Conservation
- Building Control
- Spatial Planning Policy
- Planning Information
- Land Searches
- Sustainability and Energy
- Regeneration
- Economic Development including Business Support, Tourism and Hartlepool Working Solutions.

2.6.2 Priority outcomes relating to the service areas include:-

- Increasing investment and global competitiveness
- Improving access to employment and skills opportunities
- Economic engagement at national, regional and sub-regional levels
- Improving key buildings and spaces to reflect Hartlepool's ambition
- Providing high quality learning and skills opportunities
- Improving the natural and built environment and providing quality local environments
- Addressing the impacts of climate change and taking action to mitigate the effects

2.7 **D - HOUSING OPTIONS CENTRE**

2.7.1 Members sought an increased contribution from Housing Hartlepool towards the running costs of the centre and this has been achieved.

2.8 **E – PREVIOUS MANAGEMENT SAVINGS**

2.8.1 A savings of £50k has been banked following the deletion of the post of Assistant Director (Community Safety and Protection).

3. **SAVINGS PROPOSALS FOR REGENERATION AND PLANNING DIVISION**

3.1 **Public Protection**

3.1.1 £27k

3.2 **Housing Services**

3.2.2 £95k

3.3 **Economic Development, Regeneration, Planning Service and Building Regulations**

3.3.1 £497k

3.4 **Housing Options Centre**

3.4.1 £15k

3.5 **Management Savings Previously Achieved**

3.5.1 £50k.

4. SUMMARY OF SAVING PROPOSALS

4.1 Attached marked **Appendices 1 to 3** are the summaries of the three projects outlined above.

5. OPTIONS ANALYSIS

5.1 **Public Protection**

5.1.1 Staff have explored other options to achieve the required level of savings in this area and these are:-

5.1.2 All options explored during the SDO process have been re examined and additional new options have also been considered these include:-

- Additional savings in relation to the services provided on our behalf by Tees Valley Measurement
- Downgrading of a trading standards officer post
- Stopping the out of hours noise service
- Increasing or introducing charges for pest control services
- Increasing market rents
- Removal of part time EHO post
- Removal of one pest control post

5.1.3 However it is considered that the options recommended will have the least impact on the service.

5.2 **Housing Services**

5.2.1 The Housing Service has undergone several changes following the merging of Neighbourhood Services and Regeneration and Planning.

- 5.2.2 During 2010/11 as part of the business transformation programme a service delivery appraisal was undertaken resulting in the deletion of the post of Assistant Director – Community Safety and Protection and a subsequent restructure of the Regeneration and Neighbourhoods Department.
- 5.2.3 In February 2011 some of the services included in this area were transferred to the Assistant Director – Regeneration and Planning, as part of the restructure. These included services previously within the Public Protection team which includes selective licensing, private sector housing standards, grants and loans and disabled facilities and adaptations.
- 5.2.4 Also in February 2011 the housing advice and options services, covering homeless advice services, tenant and landlord advice services and housing support services were transferred to become part of the Housing Regeneration and Policy Team to create a Housing Services Team in the Authority from April 2011.
- 5.2.5 Following the restructure some serious service related issues were highlighted which required immediate attention. Trial arrangements were put in place for 6 months from the beginning of May following consultation with both staff and trade unions.
- 5.2.6 A structure has been put in place which addresses the issues raised based on performance, delivery and expectations, which draws together all of the retained housing functions within the Council under Housing Services. This encompasses all statutory and none statutory functions undertaken by the Council apart from commissioning based services around supporting people which remain with Adult and Children's Services.
- 5.2.7 It is considered therefore that there is no viable alternative to the options proposed.

5.3 **Economic Development, Regeneration, Planning Service and Building Regulations**

- 5.3.1 Instead of merging Economic Development and Regeneration together with merging Planning Services and Urban Policy a further option of retaining the existing Divisional Service Areas and the retention of the existing tier 4 posts was considered, but as this under-achieved on savings by £60k and would not streamline and make more efficient the current managerial structure this was discounted.

6. FINANCIAL IMPLICATIONS

- 6.1 Officers have been exploring potential areas of savings, income generation and streamlining and realigning of current functions for

some time now and have discussed the issues with staff, Trades Unions and the Portfolio Holder.

- 6.2 If Members do not wish to support some or all of these recommendations then your Officers will need to re-examine these proposals as quickly as possible.
- 6.3 Whilst there may well be functions and areas of delivery about which Members have strong views, your Officers do believe that the proposals they are submitting, whilst challenging, do offer the best solution for the Division moving forward and makes us fit for purpose.

7. FINANCIAL CONSIDERATIONS

- 7.1 The proposals will deliver the following savings

Service	Proposed Savings
Project 1	£27k
Project 2	£95k
Project 3	£447k
Housing Options Centre Rent	£15k (increased income)
Previous Management Savings	£50k
Total Proposed Savings	£634k

8. KEY RISKS

Within these proposals there are no “risks” in respect of sustainability and none of the proposals require increased income targets.

Impact of Service Users

- 8.1 A Diversity Impact Assessment has been undertaken and attached as **Appendix 4**

Impact on Staff

- 8.2 Communication with the staff who may be affected by these recommendations has been undertaken.

Any Other Key Risks

- 8.3 The main risk involved from the proposed restructure is the loss of 1 tier 4 officer in the Economic Development and Planning Services SDO proposals. This is being mitigated by building in additional management capabilities particularly within Planning Services ensuring that changes to national planning frameworks are responded to and that the Core Strategy is finalised and published within the necessary timescales.

- 8.4 The EIA largely notes that as some services in Economic Development are proposed to end, clients will be supported onto the DWP Work Programme and other sources of support. In addition Economic Development will work closely with partners and clients to minimise any potential negative impacts on local residents.
- 8.5 With proposed job losses in Housing Services there is a risk of service levels falling however the proposed restructure will offer an opportunity to review the overall service provision and structure the service by focussing posts on outcomes for service users to drive up standards. The impact is the deletion of some posts with the work being undertaken by other officers undertaking generic roles and the creation of an over arching service with dedicated officer support. All statutory functions will continue to be delivered by the service.

9. COMMENTS FROM SCRUTINY REVIEW

- 9.1 Some elements of the Housing Service have recently been the topic of Scrutiny, Scrutiny were supportive of the structure of Housing Services and the scope and range of service provision.

10. COMMENTS FROM TRI-PARTITE MEETING

There were several questions but no adverse comments from the Tri-Partite meeting.

11. RECOMMENDATIONS

- 11.1 Cabinet are requested to agree the proposals for the achievement of the £634k Savings which are summarised in Section 7 (Financial Consideration) of the main report.

12. CONTACT OFFICER

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PROJECT 1 - PUBLIC PROTECTION**1. OPTIONS DEVELOPMENT**

- 1.1 After detailed consideration the following are proposed.
- 1.2 **Reduced payment to Tees Valley Measurement.** Hartlepool is part of a joint arrangement with Middlesbrough, Stockton & Redcar & Cleveland to provide the Tees Valley Measurement service. A saving has been agreed with all authorities. In the case of Hartlepool this amounts to £4,700. This will not affect the metrology service provided.
- 1.3 **Subscriptions.** A number of subscriptions to various legal updates are not being renewed in 2012. Officers will use the internet & other sources to obtain up to date information monitor case law etc. A saving of £2455 has been identified.
- 1.4 **Extended Career Grade Scheme.** This scheme provided Environmental Health Officers and Trading Standards Officers with additional payments as part of a market forces supplement. A report was taken to Performance Portfolio on 3rd August 2011 and a decision made that the scheme should not continue. A saving of £19,134 will be made.
- 1.5 **Misc budget savings.** A number of small savings on budgets have been identified amounting to £476.

2. RECOMMENDATIONS FOR SAVINGS

- 2.1 A total of £27,152 has been identified for the Public Protection as a contribution towards the departmental savings target for 2012/13.
- 2.2 It is recommended that this saving is achieved as follows:

Service area	Saving
Reduction in payment to Tees Valley Measurement	£4700
Subscriptions	£2455
Extended Career Grade Scheme	£19,521
Misc	£476
Total	£27,152

1. PROJECT 2 - HOUSING SERVICES

- 1.1 It is proposed that a restructuring of the Housing Services section is undertaken resulting in a saving of £95k This may result in some redundancies.
- 1.2 The structure of the team in Housing Services has been carefully considered to reflect the need to work closely together to effect changes quickly, enhancing the Council's enabling and enforcement role. It has been informed by intensive work to assess how delivery can be more effective and efficient and audit process have been used as a key tool to review distinct areas of service.
- 1.3 To maintain the high levels of inspection undertaken in order to improve standards, the Housing Standards Officer role has been enhanced to become generic covering housing standards, enforcement, grants and loans and selective licensing inspection and enforcement. Alongside with this officers are working with Neighbourhood Managers on an area basis to improve cross service provision within the Council.
- 1.4 The Selective Licensing process along with the landlord accreditation programme are already working as part of the Housing Options service and the development of this will be taken forward as a Landlord/Tenant function. Building and developing these areas will lift standards and effect changes both actual and perceived, together with improvement in performance to bring empty homes back into use.
- 1.5 Consideration has been given to the ways in which Housing Service can achieve necessary savings to contribute towards the departments overall savings targets.
- 1.6 Consideration has been given to those services which have to be undertaken statutorily, those services which are funded by grant or Adults and Children's Services and other services which are provided which are none statutory and could be delivered differently to achieve savings.
- 1.7 Therefore to continue the drive to improve standards it is proposed that the Landlord/Tenant function is enhanced and the Housing Standards Officer generic roles become fully responsible for Selective Licensing enforcement.

1. **PROJECT 3 - ECONOMIC DEVELOPMENT, REGENERATION,
PLANNING SERVICE AND BUILDING REGULATIONS**

1.1 **Merge Economic Development and Regeneration & Merge Planning Services and Urban Policy**

1.2 Traditionally Economic Development and Regeneration have worked closely together on significant areas of work including funding opportunities, strategy development and place regeneration including business infrastructure development. With restructures in both teams to date the respective team sizes have reduced with Regeneration losing Community Regeneration and Economic Development losing core and externally funded staff due to reductions in external funding and with further proposed SDO restructures particularly in Economic Development it would be feasible to combine both teams under one Manager. This would cement the respective services and synergies will be exploited to the full potential and savings will be accrued through the loss of one tier 4 manager's post. The service will then be well placed to respond to Government economic and regeneration policy based largely on economic development initiatives including Enterprise Zone status and the drive for business formation and growth. It is proposed the Regeneration Team would become a service area within Economic Development and would work closely with Business Support and Tourism in particular, ensuring that service priorities are fully aligned with the new and emerging Economic Regeneration Strategy.

1.3 The implementation of Enterprise Zones in Hartlepool represents the key economic growth opportunity for the town in the forthcoming years. It is anticipated that the Port EZ will attract major offshore energy projects including wind turbine manufacturing and could create up to 3,000 jobs particularly in the offshore wind sector. In addition the establishment of a rates discount EZ at Queens Meadow may create over 1,000 jobs. To respond effectively to these opportunities it is essential that capacity exists in the proposed Economic Regeneration Team to service inward investment projects, major site development opportunities and critically supporting non economically active residents back into work. Providing a comprehensive service for the delivery of EZs' will mean that the best outcome for Hartlepool can be achieved in terms of attracting businesses and supplier chain networks into the town rather than outlying areas and that local residents are given the best opportunities to secure employment rather than the opportunities being taken by surrounding areas and labour migrating into the town. This will be achieved by providing a high quality service that will lead a multi disciplinary team involving key internal and external partners and for example pre employability and up skilling programmes will be implemented ensuring that DWP Providers do not focus too heavily on clients from a broad area focusing on outcomes that satisfy their own internal financial requirements.

1.4 Due to the loss of external funding, completion of the Future Jobs Fund programme and in particular the lack of funding to offer supported employment routes via the ILM programme, it is proposed Economic

Development will undertake a restructure that will entail some reduction in posts and some reduction in hours for one post.

Efficiencies will be made at the Enterprise Centre with the deletion of two posts.

- 1.5 The Planning Service incorporating Development Control and Landscape and Conservation, Planning Policy demonstrate a broad range of synergies in policy and delivery of services. The development of planning policy and the subsequent implementation of this policy is integral to both teams and significant cross team working is required to ensure that the service can respond. With the major changes in the planning system including Localism, Enterprise Zones and Neighbourhood Planning it is proposed that Planning Policy is merged with Planning Services to ensure that the service can respond appropriately to the Government's new agenda. This proposal will result in the deletion of one post
- 1.6 It is proposed that the combined Planning Service will review structures in the future after the new service beds in and there will be a greater understanding of the Government's Planning Policy framework and how the service will need to respond to this new framework.
- 1.7 Building Control has undertaken a significant restructure for 2011/12 and has also been subject to an exercise considering a combined Tees Valley service. The outcome of the Tees Valley wide service review has determined that no service or financial benefits accrue. There will be one post deleted in this area.
- 1.8 This proposal will reduce capacity in the Division and for instance in Planning Policy the reduction in revenue resource will mean that a number of technical evidence base reports will need to be produced in house rather than utilising external consultants. In addition reductions in Regeneration Major Projects funding and Economic Development grants will result in a reliance on annual bids for the Council's unsupported capital programme to stimulate economic growth in the town and to build on the opportunities of the Enterprise Zones in Hartlepool.
- 1.9 This proposal will achieve an overall net saving of £447,201 which together with the increase in rent payable by Housing Hartlepool for Park Towers of £15k and the previous "banked" management savings in respect of the former Assistant Director Community Safety and Protection post of £50k means an overall saving of £512k.

Impact Assessment Form

Department	Division	Section	Owner/Officer
<i>Regeneration and Neighbourhoods</i>	<i>Planning and Regeneration</i>	<i>ALL</i>	<i>Damien Wilson</i>
Function/Service	<ul style="list-style-type: none"> • Development Control • Planning Enforcement • Landscape Management and Planning including Arboriculture and Ecology • Conservation • Building Control • Spatial Planning Policy • Planning Information • Land Searches • Sustainability and Energy • Regeneration • Economic Development including Business Support, Tourism and Hartlepool Working Solutions • Public Protection including trading standards, licensing, commercial services, environmental health and protection. • Housing Services 		
Information Available	<i>A range of data has been collated and reviewed, this has included Hartlepool's Economic Assessment, Hartlepool fact file, Comprehensive Area Assessment 2009, job evaluation information, job descriptions of affected posts, workforce profiles, previous client and partner consultations including a number external evaluations.</i>		
Relevance <i>Identify which strands are relevant to the area you are reviewing or changing</i>	Age		X
	Disability		X
	Gender Re-assignment		
	Race		X
	Religion		
	Sex		X
	Sexual Orientation		
	Marriage & Civil Partnership		
	Pregnancy & Maternity		X
Information Gaps	<i>The data available across the service is comprehensive and client profiles have been built up over a number of years. Substantial consultation has been carried out with clients and partners which has served to shape service delivery. The staff consultation process has not formally commenced yet and need to ensure corporate procedures are followed in line with the periods of consultation and communication with staff that are required. Work with HR and Unions to ensure equality considerations.</i>		
What is the Impact	<i>For the areas of Planning Services, Building Regulations, Regeneration and Economic Development the main impact will affect Economic Development and Regeneration. Planning Services and Building</i>		

<p><i>Regulations will see vacant posts deleted on restructure however the services will largely remain intact with minimal impact on service users. The loss of 1 tier officer affecting Economic Development, Planning Services and Regeneration will have management capacity issues but this is largely mitigated by the regarding on certain staff to carry out more management functions.</i></p> <p><i>Within Economic Development and Regeneration the main impact is on Economic Development staff with a number of potential core and fixed term posts being deleted within the restructure. The service area that is mainly affected is within Hartlepool Working Solutions which provides most of the training and recruitment services for local residents. The service is largely funded from external sources which are now no longer available and the Government has introduced new measures such as the Work Programme that is being largely delivered by private companies. The restructured team will have the capability to support recruitment opportunities particularly focussed on the Enterprise Zone initiative and will coordinate support packages to ensure local residents are best placed to take advantage of job opportunities. At the same time the service will influence the Work Programme Providers through DWP and JCP to ensure that local needs are met as best as possible set against the profit generating requirements of the programme.</i></p> <p><i>Services will continue to support NEET clients through Going Forward and three funding streams are being pursued that may offer the potential to continue delivering direct services to client groups.</i></p> <p><i>The Public Protection service has retained all key service with no job losses and there are no specific impacts on service delivery.</i></p> <p><i>Housing Services have recently been the subject of a trial restructure which was put in place following consultations with both staff and trade unions. This has allowed an opportunity to review the overall service provision and structure the service by focussing posts on outcomes for service users to drive up standards. The impact is the deletion of some posts with the work being undertaken by other officers undertaking generic roles and the creation of an overarching service with dedicated officer support. All statutory functions will continue to be delivered by the service.</i></p>			
Aim 1: Eliminate unlawful discrimination, harassment, victimisation, and any other conduct prohibited by the act.			
<i>The Corporate redundancy selection criteria and HR policy is being followed to ensure a fair and equal process has been adopted.</i>			
Aim 2: Advance Equality of opportunity, between people who share protected characteristics and those who don't.			
N/A			
Aim 3: Foster good relations between people who share a protected characteristic and those who do not share it.			
N/A			
Addressing the impact	1. No Major Change <i>The proposal is robust there is no potential for discrimination or adverse impact. All opportunities to promote equality have been utilised through the adoption of corporate HR policy's</i>		
	2. Adjust/Change n/a		
	3. Continue as is n/a		
	4. Stop/Remove n/a		
Action identified	Responsible Officer	By When	How will this be evaluated?
Pursue funding opportunities	Antony Steinberg	31.3.12	Funding Offer letters
Influence DWP Prime Provider provision	Antony Steinberg	31.3.12 - ongoing	Quarterly monitoring reports from JCP/Prime Providers will be

APPENDIX 4

5.2

Cabinet – 24 October 2011

			requested, however DWP has indicated that the information may not be released until after a DWP evaluation later next year.
Ensure support is provided to employees at risk of redundancy	Damien Wilson	Immediate	On a 1-1 basis with individuals
Ensure Housing Services maintain service delivery	Nigel Johnson	Ongoing	Monitor through performance management systems including covalent
Date sent to Equality Rep for publishing		12.10.11	
Date Published (equality rep to enter date)		00/00/0000	

CABINET REPORT

24 October 2011



Report of: Director of Child and Adult Services

Subject: EARLY INTERVENTION STRATEGY

SUMMARY

1. PURPOSE OF REPORT

- 1.1 The purpose of this report is to provide Cabinet with an opportunity to comment and give a strategic steer to the emerging Early Intervention Strategy which is being developed through consultation with service users, partners and stakeholders. The Strategy will determine how best the local authority can make use of the Early Intervention Grant beyond March 2012 to improve outcomes for local children, young people and their families.
- 1.2 The report also seeks to alert Cabinet to specific services that will need to be commissioned to deliver identified priorities and seeks approval to advertise tenders for the delivery of parenting support services and services for young people who are misusing substances. It is a priority to publish these tenders to prevent a significant break in services for service users when current contracts expire in March 2012.

2. SUMMARY OF CONTENTS

- 2.1 The report provides an overview of the emerging Early Intervention Strategy and the background to this key local initiative. The report outlines a working Vision and Aim for the future delivery of services and goes on to highlight strategic principles and priorities that have been developed through consultation with service users, partners and stakeholders.
- 2.2 The report details those services that will need to be commissioned promptly through use of the Early Intervention Grant allocation for 2012/2013 to secure continuity of services for local children, young people and their families. It concludes by noting the risks, alongside the financial and legal implications that need to be considered as the strategy is developed further and approval is sought from Cabinet to begin implementation.

3. RELEVANCE TO CABINET

- 3.1 The Early Intervention Strategy seeks to determine how Hartlepool Borough Council can make the most effective use of the Early Intervention Grant to support and produce better outcomes for local children, young people and their families and is a key decision for the Council.

4. TYPE OF DECISION

- 4.1 Key (Reference no. CAS 99/11). Test 1 and Test 2 apply.

5. DECISION MAKING ROUTE

- 5.1 Cabinet on 24 October 2011.

6. DECISION(S) REQUIRED

- 6.1 Cabinet is requested to consider the emerging Early Intervention Strategy, provide further strategic steer and agree for consultation to be undertaken with a view to a final draft strategy report being presented to Cabinet in November/December.
- 6.2 Cabinet is requested to consider those areas of the Early Intervention Strategy where services need to be commissioned and approve the advertising of tenders to deliver Parenting Support and Young People's Substance Misuse Services.

Report of: Director of Child and Adult Services

Subject: EARLY INTERVENTION STRATEGY

1. PURPOSE OF REPORT

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- 1.2 The report also seeks to alert Cabinet to specific services that will need to be commissioned to deliver identified priorities and seeks approval to advertise tenders for the delivery of parenting support services and services for young people who are misusing substances. It is a priority to publish these tenders to prevent a significant break in services for service users when current contracts expire in March 2012.

2. BACKGROUND

National Drivers

- 2.1 In December 2010, the Secretary of State for Education announced the creation of a new Early Intervention Grant which would provide Local Authorities with greater flexibility and freedom to respond to local need.
- 2.2 The grant effectively replaces a number of funding streams that have historically funded specific services such as Children's Fund, Young People's Substance Misuse Services, Children's Centres, Connexions, the Family Intervention Project, the Teenage Pregnancy Service and the Youth Crime Action Plan. The Early Intervention Grant is designed to provide local authorities and partners with the impetus to act more strategically to pool and align this funding to target disadvantage more effectively, avoid duplication and invest in early intervention and prevention services to produce better results for local children, young people and their families.

Local Drivers

- 2.3 In line with the growing national recognition that intervening early to strengthen families at risk of disadvantage is key to securing improved outcomes for children, young people and their families, the Children's Services Scrutiny Forum undertook an investigation into 'Think Family –

Preventative and Early Intervention Services' in late 2010/early 2011 to explore the provision of preventative and early intervention services including the provision of practical support for children, young people and their families and children on the cusp of care.

- 2.4 Members identified that Hartlepool has a range of excellent projects, programmes and initiatives to help support families in need and there is a need for the Council to retain these services. Members recognised that growing up in a family with significant social, health, economic and behavioural problems has a lasting and intergenerational impact on a child's life chances and concluded that **early intervention** is key to helping families in need and the earlier individuals can access services the better it is for both families and society in the longer-term.
- 2.5 The investigation enabled the Children's Services Scrutiny Forum to generate a series of recommendations which are outlined below:
- (a) That the Council works with partner organisations/agencies to:
 - i. identify families with additional needs as early as possible to ensure that individuals/families receive the help and support that meets their specific needs.
 - ii. ensure that all services are co-ordinated to avoid gaps in service provision and duplication of services.
 - iii. develop stronger partnership arrangements to ensure that all organisations/agencies are signposting individuals/families to the appropriate services.
 - iv. ensure that all services are open and accessible to all families and family members.
 - (b) The Council develops and promotes a simplified self-referral route with one point of contact so that individuals/families can refer themselves to a service if needed;
 - (c) The Council raises awareness of all the Think Family services available by promoting and marketing the services through: the media; 'Hartbeat'; schools, nurseries and children's centres; GP surgeries; community centres and libraries;
 - (d) The Council engages with parents and uses their experience to improve/deliver existing services and help develop new services;
 - (e) The Council explores options with partner organisations/agencies to secure funding for the continuation of services and the development of new services;
 - (f) The Council integrate the Think Family approach into community based services so that families feel comfortable, safe and secure when accessing the services; and

- (g) The Council, as part of the 2012/13 budget process re-examines the allocation of the Early Intervention Grant and the proportion that is allocated to Think Family services.

The views of children, young people and parents

- 2.6 A key part of the Children's Scrutiny Investigation into 'Think Family – Preventative and Early Intervention Services' was to secure the views of local children, young people and parents/carers and this was achieved through the facilitation of a series of age appropriate focus groups, questionnaires and a local Think Family Conference.
- 2.7 The feedback from this aspect of the investigation highlighted the need to improve access to services so that they are open to all families; raise awareness of services available; improve co-ordination between services and keep in contact with families.
- 2.8 Participants were asked to rank key points in order of importance in relation to how Think Family services are delivered. Out of the three groups which undertook the exercise two of the groups ranked **'help as early as possible'** as the most important, with the third group ranking **'one contact point for all services'** as most important.

3. AN EARLY INTERVENTION STRATEGY

- 3.1 The emerging Early Intervention Strategy builds upon the recommendations made by Children's Services Scrutiny investigation of 'Think Family Services' in 2010/2011 and proposes a local framework for Early Intervention that will support Hartlepool to realise the strategic priorities highlighted within the Hartlepool Children's Plan (2009–2020) and the Hartlepool Borough Council Child Poverty Strategy (2011-2014) by ensuring that children, young people and families who are at risk of disadvantage have support at the earliest possible stage to prevent families reaching crisis.

Data Analysis

- 3.2 An analysis of local need has been undertaken to inform the emerging strategy and this highlighted that whilst there have been great strides in improving outcomes for local children and young people in recent years, particularly in relation to educational attainment, some children and families would appear to have remained beyond the reach of too many initiatives. An analysis of local data highlights that, in spite of the work that has been undertaken, the gap between the most vulnerable children and their peers continues to widen and that this disadvantage is felt most keenly across a number of key geographical areas wherein the town's most vulnerable families and problematic households are concentrated.

- 3.3 In relation to the current ward boundaries, the analysis highlighted the following wards as key areas where high level needs exists:

Stranton
Brus
Owton Manor
Dyke House
St. Hilda

The data also highlights that there still remains cause for concern in other areas of the town and that the Strategy will need to have the capacity and flexibility to address this.

- 3.4 The draft Strategy document (see **Appendix 1**) outlines the arrangements in place for supporting local families and their children. It lays out the proposed vision for what the Strategy is aspiring to achieve and identifies what work needs to be undertaken to realise the vision through the delivery of key strategic principles and priorities that will support the development of a town wide Early Intervention Framework. This Framework seeks to embed systems to identify the needs of children, young people and their families as early as possible and respond to their needs promptly whilst retaining the capacity to provide a coordinated response to those families whose needs cannot be met solely within universal settings.

Working Vision

- 3.5 The vision is that all children and young people in Hartlepool are able to enjoy a happy, safe and healthy childhood and fulfil their potential. We want all local children and young people to be supported by their families to develop the skills and self confidence to cope with challenges and changes, rather than be undermined by cycles of dysfunction and underachievement.

Working Aim

- 3.6 The aim of the Early Intervention Strategy is to enable local families to break the intergenerational nature of underachievement and deprivation in Hartlepool by identifying at the earliest possible opportunity those children, young people and families who are likely to experience difficulty and to intervene and empower people to transform their lives and their future children's lives.

Emerging strategic principles and priorities

- 3.7 The Strategy stresses the need for organisations and professionals in universal settings, across the whole system of services for children, young people and families (pre-birth to nineteen years), to work together to ensure that the needs of children, young people and families at risk of experiencing difficulties and disadvantage are identified at the earliest opportunity, responded to promptly and monitored regularly to address problems before they become entrenched and result in long term damage.

- 3.8 The strategy requires services think beyond their own client group to incorporate the whole family in their thinking and planning to ensure that the pivotal role of parents in determining their children's future is acknowledged, supported and celebrated by all organisations and that families at risk of disadvantage are identified and supported as early as possible which acknowledges that outcomes for local children and young people are best improved through the strengthening of their families.
- 3.9 In order to effectively meet need, it is essential that this is assessed and understood in the context of the child's development and needs, the capacity of the parent to meet those needs and the family and environmental factors impacting upon the child. Therefore the systems and process that are intended to support the delivery of prevention through early intervention approaches such as the Electronic Common Assessment Framework (ECAF) should be championed and coordinated by the Children's Trust Partnership.
- 3.10 Based on the findings of national research, which highlights the importance of the provision of Early Years services, the strategy proposes a local Early Years Pathways (pre-birth to five) is delivered in those key geographical areas of need. The aim of this pathway is to ensure that all children in Hartlepool receive the stimulation, warmth and responsiveness they need to have the best start in life and are supported by their parents to acquire and develop the key skills they will need to provide them with a firm foundation for the rest of their lives. The strategy also highlights that there is the need to build in flexibility to provide additional support to families who reside outside of the town's key geographical areas of concern where it is identified that needs cannot be met solely by the statutory universal Early Years Pathway available to them. This reconfiguration of Early Years services provides the opportunity to undertake a review of current children centres to establish whether there is a need to reconfigure the investment in the current provision of children's centres that service the town.
- 3.11 An underpinning principle of the strategy is that the local authority continues to invest in services throughout childhood with the emphasis on early intervention continuing beyond the early years to ensure that as the circumstances of children, young people and their families change, children, young people and their families who are at risk of experiencing disadvantage can be identified early and responded to promptly.
- 3.12 The strategy highlights that there is a need to move away from the delivery of stand alone services through the development of integrated multi-disciplinary teams that can provide well coordinated responses to meet the needs of local children, young people and their families across the continuum of need and forgo the need for input from multiple services through multiple delivery points. This builds upon the recommendations made by Children's Scrutiny Forum to ensure that, through the creation of multi-disciplinary teams, whole families can gain access to information, advice, support and guidance through a single route ensuring family members are able to link with the services they require.

- 3.13 The Strategy acknowledges that workforce development and the strengthening of the capacity of the workforce will be a fundamental determinant to the success of the strategy. Everyone who works with children, young people and families should be supported to be ambitious for every child; excellent in their practice; have the capacity to look beyond their individual area of expertise; be committed to partnership and integrated working and respected and valued as practitioners.

Emerging Commissioning Priorities

- 3.14 The proposal to develop multi-disciplinary teams seeks to ensure that the appropriate arrangements are in place to respond to those difficulties that families, practitioners and partners highlight as being central to the disadvantage felt by families whose needs cannot be met solely in universal settings. The Strategy proposes that the teams be composed of a mixture of local authority employees (where specific expertise is already in place), in kind contributions from key partners such as Health and Community Safety, and service providers who are commissioned to deliver expertise where this lies outside of the Local Authority.
- 3.15 Based upon this model the strategy identifies there is a need to commission the following:
- Parenting Support services;
 - Young Peoples Substance Misuse services;
 - Domestic Violence Support services (which is being taken forward via the Regeneration and Neighbourhoods Department);
 - Support to Emotional health and Well being;
 - Out of school provision and activities for 5 – 19 year olds
 - Mentoring Programmes for 5 to 19 year olds

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

4. EQUALITY AND DIVERSITY CONSIDERATIONS

- 4.1 The developing Early Intervention Strategy is designed to meet the needs of vulnerable children, young people and their families regardless of their culture, gender, ability, race or sexual orientation.
- 4.2 It is proposed that universal services are enhanced in those key geographical areas of need. However, the strategy seeks to retain capacity and flexibility to be able to respond and allocate resources to individual families and households across the town to address emerging needs as and when required.

5 RISK IMPLICATIONS

- 5.1 There is the risk of a significant break in services for service users who are accessing parenting support services and support services for young people who are misusing substances when current contracts for delivery of these services expire in March 2012. A break in treatment could be highly detrimental for young people who are accessing services in relation to their substance misuse and parenting provision forms a cornerstone of the Early Intervention Strategy. The service is therefore seeking to avoid any break in provision through the request to Cabinet to approve the commissioning of these services to allow organisations to tender for contracts at the earliest opportunity.
- 5.2 The delivery of the Early Intervention Strategy is a key priority for the town and it is essential that the strategy is effective in meeting the broad spectrum of need that has been identified. Failure to target services effectively or maximise the resources of the Early Intervention Grant would mean that children, young people and their families will continue to experience disadvantage and cycles of deprivation.

6 LEGAL AND FINANCIAL CONSIDERATIONS

- 6.1 Services currently funded through the Early Intervention Grant fulfill a series of statutory duties relating to children and young people and the developing strategy and delivery model will need to continue to have full regard for these duties to ensure that the local authority continues to fulfill its legal obligations.
- 6.2 There are financial considerations relating the commissioning of Parenting Support Services and Young Peoples Substance Misuse Services the details of which are contained within the draft Commissioning Plan attached at **Appendix 2. This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely, (Information relating to the financial or business affairs of any particular person (including the authority holding that information)).**

7. RECOMMENDATIONS

- 7.1 Cabinet is requested to consider the emerging Early Intervention Strategy, provide further strategic steer and agree for consultation to be undertaken with a view to a final draft strategy report being presented to Cabinet in November/December.

- 7.2 Cabinet is requested to consider those areas of the Early Intervention Strategy where services need to be commissioned and approve the advertising of tenders to deliver Parenting Support and Young People's Substance Misuse Services.

8. BACKGROUND PAPERS

Children's Services Scrutiny Forum Final Report: Think Family – Preventative and Early Intervention Services April 2011.

9. CONTACT OFFICERS

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Hartlepool

Early Intervention Strategy

2011- 2013

First Draft

Please note - this is a working document and is subject to change and further refinement as children, young people, parents and partners support the development of the strategy via consultation.

October 2011

INTRODUCTION

This strategy sets out the proposed vision of Hartlepool's Children's Trust for local families whose children are disadvantaged, at risk of falling behind their peers and not reaching their full potential.

It builds upon the recommendations made by Children's Services Scrutiny investigation of 'Think Family Services' in 2010/2011 and proposes a local framework for Early Intervention that will support Hartlepool to realise the strategic priorities highlighted within the Hartlepool Children's Plan (2009 – 2020) and the Hartlepool Borough Council Child Poverty Strategy (2011-2014) by ensuring that children, young people and families who are at risk of disadvantage have support at the earliest possible stage to prevent families reaching crisis.

The strategy outlines the current arrangements in place for supporting local families and their children, lays out the proposed vision for what the Children's Trust is aspiring to achieve and identifies what work needs to be undertaken to realise the vision through the development of a series of emerging strategic priorities that will support the development of a town wide Early Intervention Framework.

BACKGROUND

National Drivers

In December 2010, the Secretary of State for Education announced the creation of a new Early Intervention Grant which would provide Local Authorities with greater flexibility and freedom to respond to local need.

The grant effectively replaces a number of funding streams that have historically funded specific services such as Children's Fund, Young Peoples Substance Misuse Services, Children's Centres, Connexions, Family Intervention Project, the Teenage Pregnancy Service and the Youth Crime Action Plan and instead provides local authorities and partners with the impetus to act more strategically to pool and align this funding to target disadvantage more effectively, avoid duplication and invest in early intervention to produce better results for local children, young people and families.

This emphasis on early intervention, as an approach to securing improved outcomes for children, young people and families, reflects the widespread recognition that it is better to identify problems early and intervene effectively to prevent their escalation than to respond only when the difficulty has become so acute as to demand action. Coupled with the growing recognition that families, and in particular parents continue to be the most significant influence on children and young people - from a child's early development through to them achieving independence – and that the strengthening of families should remain central to strategies seeking to improve outcomes for children and young people.

A growing body of evidence has been produced in recent years to support early intervention and think family approaches and the findings and recommendations from the following key studies have been taken into consideration during the development of the Hartlepool Early Intervention Strategy:

The Foundation Years: Preventing Poor Children Becoming Poor Adults – Frank Field MP

Early Intervention: Good Parents, Great Kids, Better Citizens – Graham Allen MP

The Early Years: Foundations for Life, Health and Learning – Dame Clare Tickell (2011)

The Munro Review of Child Protection – Professor Eileen Munro (2011)

Deprivation and risk: The Case for Early Intervention – Action for Children

Grasping the Nettle: Early Intervention for Children, Families and Communities – C4EO

Fair Society, Healthy Lives - Professor Sir Michael Marmot

Local Drivers

In line with the growing national recognition that intervening early to strengthen families at risk of disadvantage is key to securing improved outcomes for children, young people and their families, the Children's Services Scrutiny Forum undertook an investigation into 'Think Family – Preventative and Early Intervention Services' in late 2010/early 2011 to explore the provision of preventative and early intervention services including the provision of practical support for children, young people and their families and children on the cusp of care.

The investigation enabled Elected Members, officers, partner organisations and service users to gain an understanding of the Think Family approach in Hartlepool and the role of universal, targeted and specialist Services within local Think Family arrangements.

Members identified that Hartlepool has a range of excellent projects, programmes and initiatives to help support families in need and there is a need for the Council to retain these services, but recognised that growing up in a family with significant, social, health, economic and behavioural problems has a lasting and intergenerational impact on a child's life chances and concluded that early intervention is key to helping families in need and the earlier individuals can access services the better it is for both families and society in the longer term.

A key part of the Children's Scrutiny Investigation into 'Think Family – Preventative and Early Intervention Services' was to secure the views of local children, young people parents and this was achieved through the facilitation of a series of age appropriate focus groups, questionnaires and a local Think Family Conference.

In summary the feedback highlighted the need to improve access to services so that they are open to all families; raise awareness of services; improve coordination between services and keep in contact with families.

As a result of the services offered, parents highlighted that their children are better behaved; communication between all family members has improved; the family is still together; there is an increased awareness of how important having family time is; and mums nurture themselves more.

Parents who took part in an exercise where they were asked to rank key points in order of importance in relation to how Think Family services are delivered. Out of the three groups which undertook the exercise two of the groups ranked '**help as early as possible**' as the most important, with the third group ranking '**one contact point for all services**' as most important.

The investigation enabled the Children's Services Scrutiny Forum to generate a series of recommendations which are outlined below:

- The Council works with partner organisations/agencies to identify families with additional needs as early as possible to ensure that individuals / families receive the help and support that meets their specific needs;
- The Council develops and promotes a simplified self – referral route with one point of contact so that individuals / families can refer themselves to a service if needed;
- The Council raises awareness of all the Think Family services available by promoting and marketing the services through the media; 'Hartbeat'; schools, nurseries and children's centres; GP surgeries; community centres and libraries;
- The Council engages with parents and uses their experience to improve / deliver existing services and help develop new services;
- The Council explores options with partner organisations / agencies to secure funding for the continuation of services and the development of new services;
- The Council integrate the Think Family approach into community based services so that families feel comfortable, safe and secure when accessing the services; and
- The Council, as part of the 2012 / 13 budget process re-examines the allocation of the Early Intervention Grant and the proportion that is allocated to Think Family services.

WHAT DOES THE LOCAL DATA TELL US? (AN EMERGING NEEDS ANALYSIS)

There have been great strides in improving outcomes for local children and young people in recent years, particularly in relation to educational attainment, however, the worst off children and families would appear to have remained stubbornly beyond the reach of too many initiatives. An analysis of local data highlights that, in spite of the delivery of a range of preventative services, the gap between the most vulnerable children in the town and their peers continues to widen and that this disadvantage is felt most keenly across a number of key geographical areas wherein the town's most vulnerable families and problematic households are concentrated.

The following data sets highlight that when local key indicators are broken down by ward the difference in outcomes for local children, young people and families can be stark.

There are currently 17 wards in the borough and these have been RAG (Red/ Amber/ Green) rated with 1 being the highest level of concern and 17 being the lowest. This has been translated into RAG ratings as follows:

1-5 highest results - of most cause for concern

6-10 highest results - of medium cause for concern

11-17 - lowest cause for concern

Deprivation Indicators

Ward	% Children living in Poverty	% Families claiming Free School Meals
Stranton	60.8	50.7
Brus	40.3	42.6
Owton Manor	45.1	39.1
Dyke House	50.8	46.4
St. Hilda	41.9	31.8
Burn Valley	29.5	22.3
Rift House	33.4	26.3
Rossmere	13.7	24.3
Foggy Furze	25.0	25.3
Grange	29.2	19.2
Hart	9.7	8.1
Throston	10.0	6.9
Fens	26.6	10.1
Greatham	17.2	13.4
Seaton	9.0	7.3
Park	3.2	1.9
Elwick	2.5	4.2

Educational Achievement

The tables below highlights that there is a correlation locally between educational underachievement and broader family circumstances.

Ward	FSP 6+ in all Communication, Language and Literacy 2011	KS1 L2+ Speech and language 2011	KS1 L2+ Reading 2011	KS1 L2+ Writing 2011	KS2 L4+ Eng and Maths 2011	% achieving 5+ A*-C GCSE's including English and Maths (2010 results)
Stranton	47.8	69.5	81.4	67.8	69.2	36.5
Brus	61.1	72.8	77.2	70.7	83.2	42.1
Owton Manor	56.0	75.3	76.3	72.0	60.0	37.1
Dyke House	61.7	71.2	79.5	68.5	68.5	33.3
St. Hilda	67.1	83.8	82.4	73.5	72.9	76.4
Bum Valley	68.4	77.3	75.8	68.2	75.4	47.7
Rift House	52.8	84.8	86.1	81.0	75.3	35.6
Rossmere	70.0	86.9	83.3	75.0	70.9	50.8
Foggy Furze	70.4	71.2	65.4	63.5	76.8	47.9
Grange	62.3	74.5	70.6	72.5	82.3	48.6
Hart	75.9	79.2	83.1	77.9	85.7	57.7
Throston	68.2	89.2	89.2	83.9	77.7	64.8
Fens	71.4	80.9	78.7	72.3	85.7	56.9
Greatham	66.7	83.3	83.3	83.3	88.9	51.9
Seaton	80.0	94.2	87.0	87.0	83.1	76.4
Park	79.3	93.2	95.5	95.5	82.9	69.4
Elwick	84.6	93.3	93.3	93.3	88.9	81.8

Social Care Interventions

Research tells us that deprivation can be corrosive and that harmful behaviours – such as drug or alcohol misuse, criminality and neglect – can flourish in its shadow.

The table below show a clear correlation between areas of deprivation and the need for Social Care interventions.

Ward	Duty referral	% Child in Need	% subject to a Child Protection Plan
Stranton	15.2	14.7	25.5
Brus	10.0	9.0	14.2
Owton Manor	9.0	9.2	5.7
Dyke House	7.6	9.4	6.6
St. Hilda	8.9	8	7.5
Burn Valley	7.0	9.8	5.7
Rift House	6.7	4.7	0.9
Rossmere	4.5	5.5	5.7
Foggy Furze	7.0	4.7	5.7
Grange	5.5	8.2	5.7
Hart	2.5	2.2	2.8
Throston	3.8	3.3	4.7
Fens	1.9	2.2	3.8
Greatham	0.7	1.2	2.8
Seaton	1.0	1.4	0.0
Park	0.6	1.8	0.0
Elwick	0.3	0.4	0.0

Outcomes for local young people

There is evidence to suggest that young people who reside in those areas of highest deprivation tend to have increased risk of poor outcome indicators than their peers.

Ward	Teenage Pregnancy	1st time entrant Youth Justice System	16-18 Not in Education, Employment or Training
Stranton	16.0	9.0	14.1
Brus	6.8	10.5	10
Owton Manor	7.3	11.5	9.9
Dyke House	9.4	6.9	7.4
St. Hilda	8.9	7.6	7.7
Burn Valley	10.9	5.8	6.1
Rift House	4.4	10.0	5.5
Rossmere	5.4	6.5	4.3
Foggy Furze	0.0	3.5	6.0
Grange	2.4	9.0	7.7
Hart	5.8	5.5	4.3
Throston	4.5	4.3	3.8
Fens	5.2	1.0	1.7
Greatham	0.0	0.5	1.7
Seaton	3.5	5.0	6.4
Park	4.3	2.0	0.8
Elwick	0.0	0.5	0.5

Taken together the information identifies that disadvantage is felt most keenly across the following key geographical areas wherein the town's most vulnerable families and problematic households are concentrated.

Stranton
 Brus
 Owton Manor
 Dyke House
 St. Hilda

But that there still remains cause for concern in other areas of the town that the Strategy will need to have the capacity and flexibility to address.

WHAT DOES NATIONAL RESEARCH TELL US?

Recent national research clearly demonstrates that adverse childhood experiences can have a detrimental influence on a number of outcomes.

A recent study undertaken by the Prison Reform Trust highlighted that of 200 children in Young Offender Institutions, they experience significant disadvantage through the prevalence of the following broader family circumstances:

Absent father (i.e. has lived apart from father for significant period of childhood; not solely through bereavement)	76%
Has ever run away or absconded	47%
Ever on child protection register and/or has experienced abuse or neglect	39%
Parent and/or sibling(s) involved in criminal activity	38%
Absent mother (i.e. has lived apart from mother for significant period of childhood; not solely through bereavement)	33%
Has witnessed domestic violence	28%
Ever accommodated in local authority care (through voluntary agreement by parents and/or care order)	27%
Formal diagnosis of emotional or mental health condition	17%
Bereavement – parent and/or sibling(s)	13%

A study undertaken by 'Turning Point', a leading National Social Care Organisation highlighted that in relation to parental alcohol use:

- Around one third (360,000) of all domestic violence incidents are linked to alcohol misuse.
- Over 50% of families on social workers' caseloads have parent(s) with drug, alcohol or mental health problem.
- Alcohol misuse by parents was identified as a factor in over 50 per cent of child protection cases
- Half of those attending drug and alcohol services have mental health problems.
- Marriages are twice as likely to end in divorce where there are alcohol problems.
- Alcohol misuse identified as a factor in 50% of child protection cases.
- 25% children witnessing domestic violence have serious social and behavioural problem.
- Nearly 75% of Serious Case Reviews found that parental mental ill health, substance misuse and/or domestic violence, often in combination were a factor.
- Children aged 13-14 who live in families with five or more problems are 36 times more likely to be excluded from school.

WORKING VISION

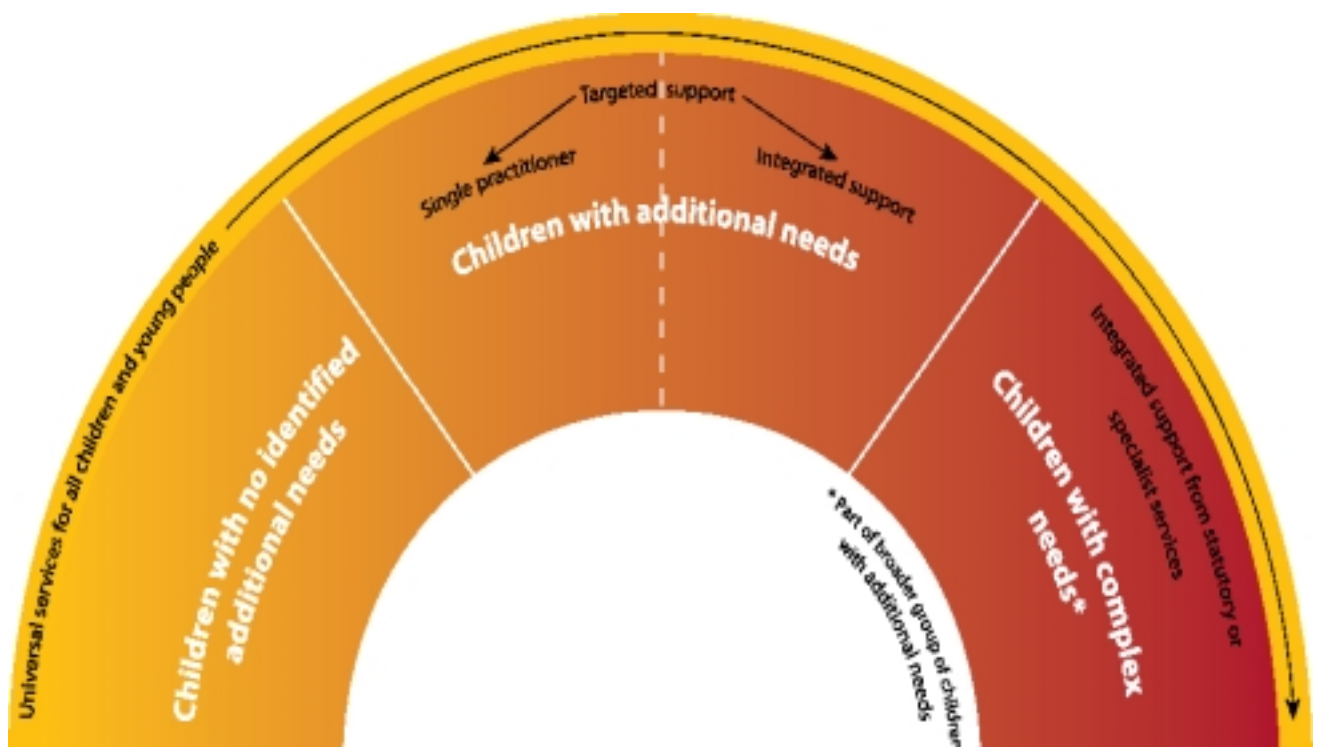
Our vision is that all children and young people in Hartlepool are able to enjoy a happy, safe and healthy childhood, and fulfil their potential. We want all local children and young people to be supported by their families to develop the skills and self confidence to cope with challenges and changes, rather than be undermined by cycles of dysfunction and underachievement.

WORKING AIM

The aim of the Early Intervention Strategy is to enable local families to break the intergenerational cycle of underachievement and deprivation in Hartlepool by identifying at the earliest possible opportunity those children, young people and families who are likely to experience difficulty and to intervene and empower people to transform their lives and their future children's future lives.

There are a number of children, young people and families who are already experiencing difficulties in Hartlepool and that frameworks developed to deliver this strategy will need to have the flexibility to not only respond early to families identified as at risk of experiencing disadvantage and difficulties but also retain the capacity to continue to target and provide services for those families whose needs are already apparent.

It is essential therefore that a framework for the delivery of services retains the capacity to respond to families across the spectrum of need:



PRINCIPLES OF THE EARLY INTERVENTION STRATEGY

The structure of the strategy is built upon a series of key principles that when taken together form the base of a coherent strategy for early intervention that will enable the partnership to improve the quality of life for local children, families and communities.

These are:

A commitment to prevention through early intervention

Our vision is that organisations and professionals in universal settings across the whole system of services for children, young people and families, work together to ensure that the needs of children, young people and families at risk of experiencing difficulties and disadvantage are identified at the earliest opportunity, responded to promptly and monitored regularly to address problems before they become entrenched and result in long term damage.

An emphasis on whole families and the role of parents

Our vision is that all services think beyond their own client group to incorporate the whole family in their thinking and planning to ensure that the pivotal role of parents in determining their children's development is acknowledged, supported and celebrated by all organisations; that families at risk of disadvantage are identified and supported as early as possible and that outcomes for local children and young people are improved through the strengthening of their families.

A priority focus on the early years (pre birth to 5)

Our vision is that all children in Hartlepool receive the stimulus, warmth and responsiveness they need to have the best start in life and are supported by their parents to acquire and develop the key skills they will need to provide them with a firm foundation for the rest of their lives.

A commitment to continuing early intervention in later years

Our vision is to ensure that an emphasis on early intervention continues beyond the early years to ensure that as the circumstances of children, young people and their families change children, young people and their families who are at risk of experiencing disadvantage can be identified early and responded to promptly.

A multi-agency systems approach

Our vision is to ensure that, through the creation of multi-disciplinary teams whole families can gain access to information, advice, support and guidance through a single route ensuring family members are able to link with the services they require.

A highly skilled and competent workforce

Our vision is that everyone who works with children, young people and families should be ambitious for every child and young person; excellent in their practice; committed to partnership and integrated working and respected and valued as practitioners.

Commissioning and investing in programmes that work.

Our vision is to ensure that as commissioners and service providers we will work with and through the Children's Trust to better understand the needs of children, young people, families and communities in Hartlepool, listen to what they want and work with them to design, improve and re-commission services.

Services in Hartlepool should be organised in such a way that they help all children and young people achieve their full potential and maximise their chances in life by providing integrated provision which is of high quality, effective and excellent value for money.

GOVERNANCE ARRANGEMENTS

The Early Intervention Strategy will be led by the local authority Director of Children's Services and Lead Member for Children's Services and will be the responsibility of all partners within the Children's Trust.

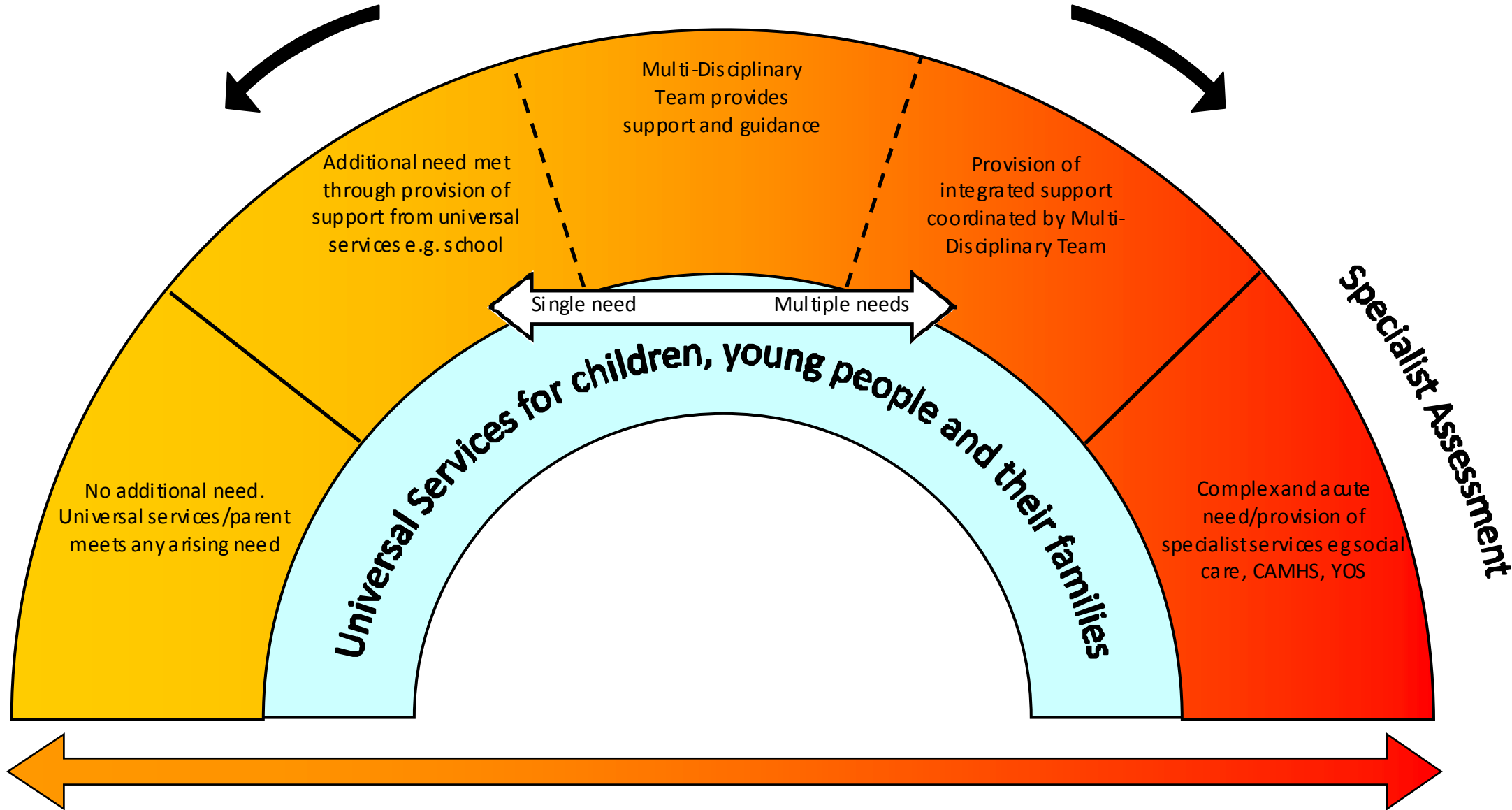
This strategy will be supported by an action plan which sets out in detail the planned work to be completed to achieve the strategy. Responsibility for the implementation of the strategy will be led by the Early Intervention Strategy Task and Finish Group which will report progress to the Children's Trust.

AN EMERGING FRAMEWORK FOR THE DELIVERY OF THE HARTLEPOOL EARLY INTERVENTION STRATEGY

The following proposed framework builds upon each of the principles that underpin the Hartlepool Early Intervention Strategy to embed a whole system of community based services for children, young people and their families that are able to identify and respond to additional needs across the spectrum of need at the earliest opportunity:

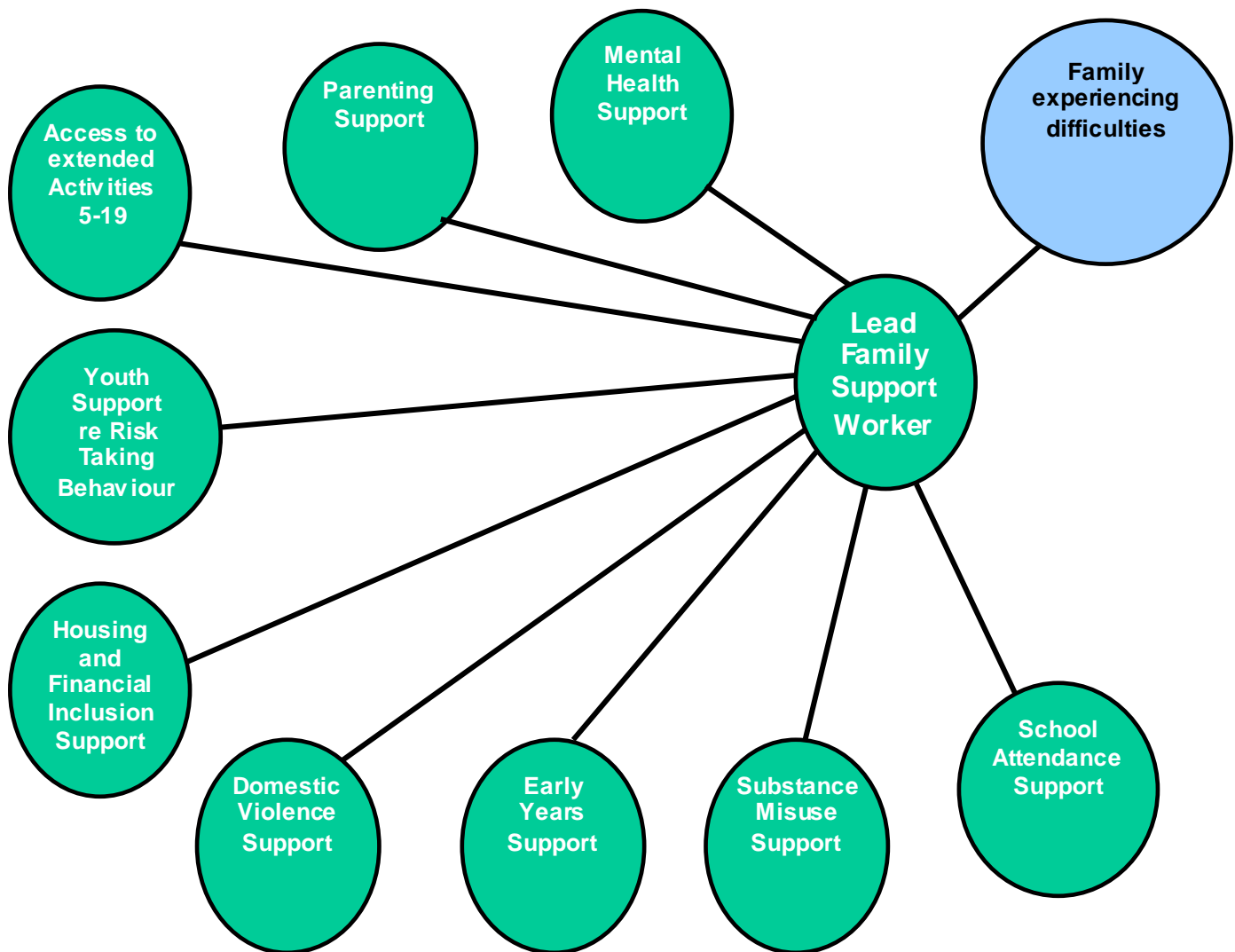
Services for families resident in key geographical areas of concentrated need and concern (Stranton, Brus, Owton Manor, Dyke House and St Hilda).	Services for families resident in geographical areas of less concern.
A whole system of universal services to provide for children, young people and families and identify and meet additional need at the earliest opportunity.	A whole system of universal services to provide for children, young people and families and identify and meet additional need at the earliest opportunity.
<p>A Pre-birth to five pathway that will establish were children are not reaching key developmental milestones and were parents would benefit from additional, advice, support and guidance.</p> <p>Emphasis on the benefits of Breast Feeding, Speech, Language, Communication and Attachment.</p> <p>Alongside information, advice, support and guidance for parents regarding, family health, smoking cessation, relationships between parents, benefits, employment, budget advice and the development of peer-support to improve isolation and self esteem.</p>	<p>Continuing access to support programmes during pregnancy via Midwifery and Children's Centre engagement worker.</p> <p>Booking in appointment (Midwifery).</p> <p>Ante natal appointments (Midwifery).</p> <p>Healthy Child Programme (Health)</p> <p>Information, advice and guidance available via central functions (currently Families Information Service Hartlepool).</p>
Dedicated out of school provision for children and young people in the heart of the community.	Access to out of school provision for children and young people within 15 minutes walking distance.
Access to a Family Support Worker who sits within a multi-disciplinary team with the capacity to respond to families whose needs are multi-faceted, cannot be met solely in universal settings and where there is a need for coordinated packages of support.	Access to a Family Support Worker who sits within a multi-disciplinary team with the capacity to respond to families whose needs are multi-faceted, cannot be met solely in universal settings and where there is a need for coordinated packages of support.

Common Assessment Framework



PROPOSED SERVICE DELIVERY MODEL

One of the issues raised through the Scrutiny Investigation of Think Family was that parents were unhappy with having to have contact with different workers from a number of services who focused on a specific area of need. The proposed model is to integrate existing preventative services into 0 – 19 integrated teams. These teams will deliver the full range of prevention services in a coordinated way which enables families to access services through a lead family support worker who in turn can call on the skills and expertise of range of provider services.



HOW WILL WE KNOW WE HAVE BEEN SUCCESSFUL?

The Early Intervention Strategy will support Hartlepool to realise the strategic priorities highlighted within the Hartlepool Children's Plan (2009 – 2020) and the Hartlepool Borough Council Child Poverty Strategy (2011-2014):

- Tackling inequalities.
- Narrowing the gap.
- Eradicating child poverty.
- Living safely.
- Promoting emotional well-being.

It is envisaged that the impact of the Early Intervention could be measured across a suite of local indicators designed to measure the following:

- Reducing the impact of poverty and poor housing through a reduction in the number of children and young people living in poverty.
- Preventing harm to all children and young people, especially those who are vulnerable or disadvantaged
- Preventing exclusion from school and wider education and training.
- Preventing underachievement
- Preventing children and young people from becoming involved in antisocial behaviour and offending
- Preventing isolation from recreational, cultural and social opportunities
- Preventing health related issues that impact adversely on children and young people's well-being
- Reducing the number of children involved in risky behaviours through a:
 - Reduction in the number of young people who choose to get pregnant as teenagers.
 - Reduction in the number of young people who misuse substances.
 - Reducing in the number of young people who enter the criminal justice system.
- Increasing parents' ability to parent, therefore reducing number of children neglected.
- Reducing the number of children experiencing domestic violence.
- Increasing the number of young people who are in Education, Employment or Training aged 16 to 19.

DRAFT

COMMISSIONING PLAN

FOR THE EARLY INTERVENTION STRATEGY 2011-13

1. INTRODUCTION

This Commissioning Plan should be read in conjunction with the Council's overarching Children and Young People's Plan and Early Intervention Strategy which are available at: www.hartlepool.gov.uk

The aim of this Commissioning Plan is to set out the arrangements which are proposed for the development of the commissioning strategy for early intervention services for children, young people and their families. It shows the principles and partnership priorities that will underpin the Council's approach to commissioning.

This plan:

- outlines our commissioning principles and standards;
- describes the commissioning cycle of analyse, plan, do and review;
- describes the financial environment and best value;
- outlines what the Council intends to commission over the next year for the delivery of the Early Intervention Strategy.

2. VISION AND AIM

The Hartlepool Children and Young People's Plan sets out the overarching vision for children and young people in the town:

In Hartlepool we will work together through the Children's Trust to keep children, young people and families at the centre of the services that we provide

As commissioners and service providers we will work with and through the Children's Partnership to better understand the needs of children, young people, families and communities in Hartlepool, listen to what they want and work with them to design, improve and re-commission services.

The Early Intervention Vision:

Our vision is that all children and young people in Hartlepool are able to enjoy a happy, safe and healthy childhood, and fulfil their potential. We want all local children and young people to be supported by their families to develop the skills and self confidence to cope with challenges and changes, rather than be undermined by cycles of dysfunction and underachievement.

The Early Intervention Aim:

The aim of the Early Intervention Strategy is to enable local families to break the intergenerational nature of underachievement and deprivation in Hartlepool by identifying at the earliest possible opportunity those children, young people and families who are likely to experience difficulty and to intervene and empower people to transform their lives and their future children's lives.

The Strategy is built upon a series of key principles that when taken together, form the base of a coherent strategy for early intervention that will enable the Partnership to improve the quality of life for local children, families and communities.

These are:

- A commitment to prevention through early intervention;
- An emphasis on whole families and the role of parents;
- A priority focus on the early years;
- Continuing early intervention in later years;
- A multi-agency systems approach;
- A high quality workforce;
- Commissioning and investing in programmes that work.

3. COMMISSIONING PRINCIPLES AND STANDARDS

The principles that support how the Council will work with and support, children, young people and families are set out in Hartlepool's Children and Young People's Plan 2009 – 2020:

- Children and young people, together with parents or carers and other members of the community, are consulted and participate in the identification of local needs and shaping of service delivery;
- Children and young people have access to equitable universal services, alongside targeted and specialist services and these are delivered flexibly to meet individual and local needs;
- There is a shared commitment to integrated working practices which are designed to promote the delivery of effective outcomes for children and young people;
- There is a commitment to partnership working between all stakeholders from both the statutory and community and voluntary sectors;
- Resourcing, planning and commissioning are effective and help to develop sustainable services;
- Evidence based practice is used to develop high quality continuous improvement through monitoring and evaluation;
- Inclusion, both social and educational, together with the recognition of diversity, is central to the Children and Young People's Plan.

The complex nature of the social problems experienced by a large proportion of the population means that a partnership approach is essential if improvements are to be maintained.

The following standards set out our approach to commissioning:

- basing all decisions on evidence of a favourable impact on quality, outcomes and value for money;
- providing early intervention services at the earliest appropriate moment;
- agreeing to close the gap between those falling behind and the rest;
- sustaining stable relationships between key practitioners and vulnerable families;
- using open and transparent processes that build confident partnerships;

- using commissioning not just to retain and re-model existing services or commission new ones but, where necessary to decommission services which are inefficient, ineffective, inequitable or unsustainable;
- making all processes lean and aiming for continuous improvement;
- using contestability and packaging of work for small providers;
- providing challenge for all practitioners;
- use of shared processes including lead professional arrangements and the Common Assessment ;
- providing management information to evaluate impact and measure outcomes.

In addition, the European Convention on the Rights of the Child, incorporated into UK law in 1991, ensures that 'Every child and young person is entitled to a private and family life and has the right to participate in decisions that affect their lives' underpins the plan.

4. DEFINITION OF COMMISSIONING

Commissioning is about securing services that deliver good outcomes and enhance the quality of life for children, young people and their families or carers within Hartlepool. Commissioning is the process of specifying, securing and monitoring services to meet the desired outcomes for people at a strategic level.

Commissioning can be defined as:

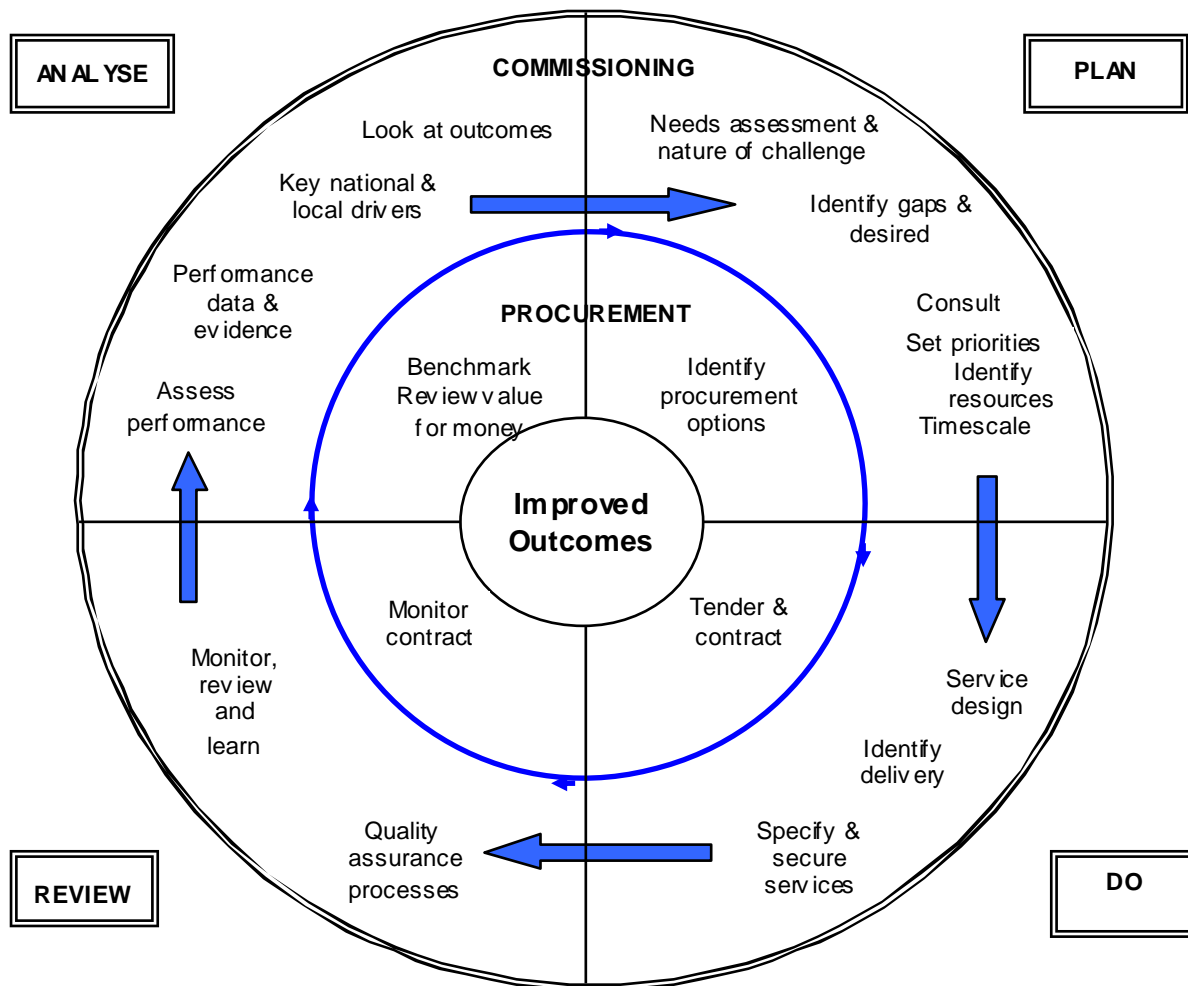
'The process for deciding how to use the total resource available for children, young people and their families in order to improve outcomes in the most efficient, effective, equitable and sustainable way.'

5. COMMISSIONING PROCESS

The commissioning process is underpinned by widely used business planning and performance management arrangements. At the very heart of these arrangements is the desire to improve outcomes for children and young people.

The commissioning process is built upon four main areas of activity:

- Analyse
- Plan
- Do
- Review



Each of these areas is explained in more detail below:

Analyse

- Collate and assess performance data and evidence – annually or over longer periods;
- Is linked to the self-assessment process and the Annual Performance Assessment;
- Takes account of the aforementioned national, regional and local drivers (benchmarking);
- Data needs to be considered at strategic, service and individual levels.

Plan

- Involves undertaking a needs assessment and recognises the nature of the current/future challenge;
- Is linked to gap analysis and desired outcomes;
- Gathers the views of children and young people and other stakeholders for consideration in the development of planning;
- Requires consideration of priorities, resources and timescales.

Do

- Involves service design or re-design;
- Is linked to re-commissioning or decommissioning of existing services;
- Takes account of delivery options such as direct provision and identifies delivery partners across all sectors;
- Requires consideration of services specification and standards of provision.

Review

- Involves monitoring the activity against the required outcome(s);
- Is linked to quality assurance processes;
- Takes account of service user experience and views;
- Requires consideration of 'lessons to be learned'.

6. THE FINANCIAL ENVIRONMENT AND BEST VALUE

As the Council continues through an extremely challenging financial climate it is important that the Council ensures the delivery of value for money and quality services for children, young people and their families.

The best balance of Council, or voluntary and community sector, as well as private sector service provision will be dependent upon the service which is being commissioned. Decisions will be based upon the following principles:

- The Council must always seek to commission services which deliver the best possible value in quality and cost for itself and children, young people and families;
- The Council must undertake a commissioning process that it is fair, open and transparent in the way in which it purchases services;
- Services will need to be commissioned to allow for improved quality and choice and the views of children, young people and their families must be involved in this process;
- Organisations, including the Council, must continue to work in partnership to provide the best value in cost and quality;
- Information on costs, activity, productivity and results must improve and baselines must be set to improve performance.

7. THE BALANCE BETWEEN COUNCIL AND EXTERNAL PROVISION

The most appropriate balance of internal and external provision will vary depending upon the area of service delivery. However, a range of considerations apply in decisions about whether services should be provided by the Council or commissioned from external providers, including:

- Strengthening the involvement of children and young people, carers, staff and service providers in redesigning services;
- Considering alternative providers of services, if these providers can improve the efficiency, productivity or quality of services;
- Continuing to improve collaboration and integrated working;

- Improving information on costs, activity, productivity and outcomes, including setting baselines from which to measure performance;
- Legislation and regulation;
- Retaining the capacity for the Council to act as provider of last resort.

8. SERVICES TO BE COMMISSIONED TO DELIVER THE EARLY INTERVENTION STRATEGY

A significant number of contracts that deliver key services for children, young, people and families will cease at the end of March 2012. It is intended that the Council will develop a reduced number of, but larger value tenders to deliver these services agreed as a part of the Early Intervention Strategy. The development of the strategy will deliver efficiencies in the management and monitoring of contracts with the aim of improving quality. The tenders that will be advertised between November 2011 and May 2012 and funded through the Early Intervention Grant are:

- Children and Young People's Substance Misuse Services;
- Parenting Support Services;
- Emotional Health & Wellbeing
- Domestic Violence Services (Corporate Tender);
- Centre based Youth Services;
- Activities for 5 to 19 year olds;
- Mentoring Programme for 5 to 19 year olds.

It should be noted that there may be other service specific contracts, non Early Intervention services will be tendered and awarded during the course of the next year these include but may not be limited to:

- Reparation and Restorative Justice;
- Support for Young Carers.

9. SMALL AND MEDIUM SIZED ENTERPRISES AND VOLUNTARY AND COMMUNITY SECTOR

The Council encourages providers including small and medium sized enterprises, voluntary and community sector and similar organisations to bid for contracts. The Council also encourages the use of social clauses in contracts where it is appropriate to do so.

The voluntary and community sector are also encouraged to bid for larger contracts using a consortia approach which can bring together a range of experience with a wider skills base, enabling them to compete for larger contracts and deliver more cost effective, value for money services.

10. MARKET TESTING

A market testing event will be held on the 19 October 2011 to inform potential providers of the Council's commissioning intentions and to outline the draft commissioning plan; to set out the arrangements that are proposed for commissioning of early intervention services for children, young people and their families within Hartlepool.

Potential providers will also be informed of the general timescales from initial advert to the awarding of contracts. As these will be advertised and commissioned over a period of time it will make it easier for some organisations to tender for more than one contract.

Ian Merritt
Strategic Commissioner – Children's Services
Child and Adult Services

EIS Parenting and Substance Mixture		Aug-11				Sep-11				Oct-11				Nov-11				Dec-11				Jan-12				Feb-12				Mar-12				Apr-12				May-12				June							
Task	Key Dates	01/08/2011	08/08/2011	15/08/2011	22/08/2011	29/08/2011	05/09/2011	12/09/2011	19/09/2011	26/09/2011	03/10/2011	10/10/2011	17/10/2011	24/10/2011	31/10/2011	07/11/2011	14/11/2011	21/11/2011	28/11/2011	05/12/2011	12/12/2011	19/12/2011	26/12/2011	02/01/2012	09/01/2012	16/01/2012	23/01/2012	30/01/2012	06/02/2012	13/02/2012	20/02/2012	27/02/2012	06/03/2012	13/03/2012	20/03/2012	27/03/2012	03/04/2012	10/04/2012	17/04/2012	24/04/2012	01/05/2012	08/05/2012	15/05/2012	22/05/2012	29/05/2012	05/06/2012			
Finalise Specification and Contract Letter with Corporate Procurement regarding PQG and Tender docs	Corporate Procurement																																																
Approval to Advertise project																																																	
Place advertisement in appropriate newspaper/journal for Expressions of Interest	1st November 2011																																																
Corporate Procurement Distribute PQG documents	28 Days - Corporate Procurement (1st November 2011 - 2nd December 2011)																																																
Closing date for PQG submissions	Noon 2nd December 2011																																																
PQG Evaluation (PQG sections circulated)	3 week - (5th December - 23rd December 2011)																																																
Invite to Tender shortlisting	23rd December 2011																																																
Invite to Tender letters sent out including Tender packs	23rd December 2011																																																
Closing date for Tender submissions	12 noon on 18th February 2012																																																
Report to be sent to Contract Scrutiny	12 Noon on 2nd February																																																
Opening of Tender Submissions by Contract Scrutiny	13th February 2012																																																
Evaluation of Tender questionnaire and submissions including interviews	13 February 2012 - 2nd March 2012																																																
Final evaluations and decision making process	22nd February 2012 - 2nd March 2012																																																
Report to Director Seeking approval to enter into contract	9th March 2012																																																
Advise Candidates of Intention to Award	10 DAY STANDSTILL																																																
Report to be sent to Contract Scrutiny	8th February 2012																																																
Report to contract scrutiny panel	12th March 2012																																																
Roll out/Award finalised contract (lead in)	Lead in (TUPE ISSUES ETC)																																																
Contract commences in full	4th May 2012																																																

CABINET REPORT

24 October 2011



Report of: Director of Regeneration and Neighbourhoods

Subject: PARKS AND COUNTRYSIDE –
DEPARTMENTAL SAVING 2012/13

SUMMARY

1. PURPOSE OF REPORT

This report seeks to:

- Provide an overview of the Parks and Countryside grounds maintenance income generating activities.
- Provide reassurance that an income generating stance is appropriate for the service and demonstrate this area has a track record of healthy and positive outturns.

2. SUMMARY OF CONTENTS

An overview of current and future income generating activities together with proposals to achieve a saving in 2012/13.

3. RELEVANCE TO CABINET

Part of the 2012/13 budget proposals.

4. TYPE OF DECISION

Non Key Decision.

5. DECISION MAKING ROUTE

Cabinet on 24 October 2011.

6. DECISION(S) REQUIRED

- 6.1 That the Parks and Countryside Service target for 2012/13 of £45,000 is taken from core grounds maintenance funding. Which in turn will be supported through income generation activities.

Report of: Director of Regeneration and Neighbourhoods

Subject: PARKS AND COUNTRYSIDE – DEPARTMENTAL
SAVING 2012/13

1. PURPOSE OF REPORT

1.1 This report seeks to:

- Provide an overview of the Parks and Countryside grounds maintenance income generating activities.
- Provide reassurance that an income generating stance is appropriate for the service and demonstrate this area has a track record of healthy and positive outturns.

2. BACKGROUND

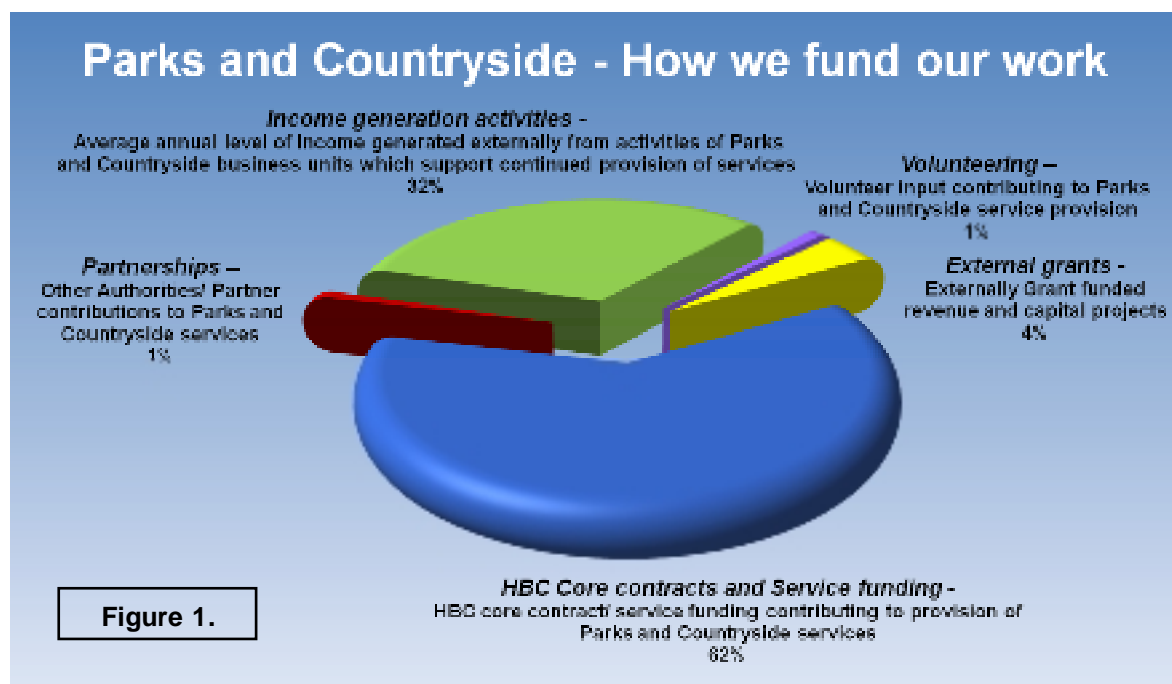
2.1 The Parks and Countryside Section is responsible for the care, development and promotion of green spaces and the services that are dependent upon them:

- Parks and Country Park areas
- Townwide Horticulture and Arboriculture work; and Tanfield Nursery complex
- Countryside Wardens and Nature Conservation areas
- Coast and associated Beach Safety provision
- Public Rights of Way and the Countryside Access Network
- Cemeteries and the Crematorium
- Children's outdoor play spaces and fixed play equipment
- Football pitches, games spaces and bowling greens

2.2 The service has an approximate £3.25m annual operating requirement. The core revenue budgets account for two thirds of the annual operating needs to maintain current expected frontline service standards. To bridge the annual operating shortfall the section operates many of its services through fee income and trading for example:

- Cemetery and Crematoria services are 100% funded from external income approximately £750K/pa.
- Town wide horticulture services turnover approximately 12%/pa of annual service cost in external/ unscheduled works which helps support current service standards.

2.3 The graphic below illustrates how the Parks and Countryside section is funded:



- 2.4 Under the revised management structures resulting from the 2009/10 Business Transformation Service Delivery Option review healthy and positive service outturns have been produced using the fee income and trading arm business model. Looking at the figures over the last two years the biggest issue encountered with regard to business growth was the availability of qualified and experienced workforce, not work availability.
- 2.5 The Parks and Countryside section has since 2010 been developing service capabilities within the grounds maintenance squads through staff training and apprenticeships. This has been augmented through investment in tools and machinery that seeks to maximise productivity and output; in partnership with improved supplier servicing and maintenance regimes. The current key growth service area is arboricultural services. This is opening new geographical areas and work streams with commercial and public sector clients reassured by the quality of work the team can deliver and the experience and professionalism demonstrated by them.
- 2.6 The section has stopped growing summer and winter bedding in order to release needed resources and reduce costs. This stance recognised that weak business areas require a disproportionate amount of supervision, the team needed to focus on other opportunities. This plant production element is now delivered in a 'just-in-time' format with a reliable external supplier and has achieved significant savings in bedding plant costs and planting out costs. This has also facilitated a development opportunity for the Tanfield South site and potential capital receipt for the Local Authority.

- 2.7 At the start of 2011/12 the Schools Grounds Maintenance operation transferred from Facilities Management to Parks and Countryside due to approximately 50% of Hartlepool schools failing to renew contracts in favour of private landscaping contractors. This has placed the schools grounds maintenance team at risk. Two of the four school grounds operatives will remain primarily, but not exclusively, tasked to this area of work and it is anticipated that two others will be reassigned to vacancies within the general grounds maintenance service, enabling the remainder of schools contract work to be adsorbed. What is clear is that the service has failed to respond to a changed business environment and unless this is tackled it will become increasingly hard to recapture its lost position.

3. BUSINESS PLAN

- 3.1 As the Schools grounds service illustrates there is a need to be aware of the wider competitive environment outside of the confines of day-to-day in-house operations. From a strategic perspective three generic competitive business strategies are available to business units:

- **Overall cost leadership** – Achieve the lowest production and distribution costs so you can price lower than competitors. You need to be very good at what you do in addition to being very flexible and very quick to adapt as a business. *The problem – Other firms will compete with still lower costs to gain market share and punish the business that rests its entire future on cost.*
- **Differentiation** – Concentrate on superior performance in the area(s) that matter most to the customer base. To do this well the business unit needs to cultivate those strengths that will contribute to the intended differentiation. This stance recognises that from a good business perspective it is more important to ‘do the right thing’ (effectiveness) than to ‘to do things right’ (efficiency). Obviously prioritising appropriately successful businesses try to excel at both.
- **Focus** – The business focuses on one or more narrow market segments, gets to know them intimately and pursues either cost leadership or differentiation.

- 3.2 On one side the section is facing competition from local and regional competitors pursuing a cost leadership approach in areas like schools grounds maintenance. In comparison with the operating parameters of private firms there are disparities in employment conditions; corporate strategic orientation, and flexibility which all conspire to make a ‘cost leadership’ stance, not impossible, but certainly difficult within the current operating environment. ‘Differentiation’ and to a lesser extent ‘Focus’ strategies offer higher chance of maintaining business in the short/ medium term.

- 3.3 Competition also comes from large national facilities management companies who have for example integrated with grounds maintenance suppliers and expanded them as necessary; or formed business partnerships with them to provide guaranteed periods of contract work. The benefit of both approaches is that inward business investment from the synergy between the two can rapidly allow a grounds maintenance business to scale up and support a cost leadership approach within a wider profit making facilities management portfolio.
- 3.4 Differentiation strategies in the short to medium term should position Parks and Countryside well to maintain business income. Operational financial reinvestment and workforce development are critical though to maintain a superior performance.
- 3.5 In the future Parks and Countryside needs to continue its successful partnership working approaches investigating co-operative working stances with other regional partners from both grounds maintenance and facilities management perspectives. Similarly evolution of the business stance of the service may offer longer-term security and needs further exploration.
- 3.6 Parks and Countryside success comes in no small part as a result of the support and critical advice it receives from Elected Members, Volunteers, Friends Groups, and Residents Groups. Over £4.5million of outside investment has been secured to improving Hartlepool's green space resource over the last nine years as a result of this help, support and community participation.
- 3.7 Considerable scope exists to improve the overall financial performance through 'Intensive Growth' opportunities – *those which improve the existing business performance*. **Appendix 1** illustrates these areas and outlines some of the key 'Business Drivers' and 'Potential Business Brakes and Blocks'.

4 INCOME GENERATION

- 4.1 Income generation activities are closely monitored. This process is supported by the 'job coding' system that allows all 'open' projects to be monitored against original quoted prices. Similarly on a monthly basis overall service portfolio income position is reviewed against profiled budget position. In both situations early intervention brings projects in on-budget.
- 4.2 Parks and Countryside services operate in evolving and competitive markets, and need to be responsive to changing circumstances and challenge traditional public sector service delivery models.
- *Rewarding and recognising the necessity for flexibility and adaptability in successful service delivery.*
 - *Acknowledge the need to foster a way of working, from the point of frontline service delivery to the backroom support service, where innovation is*

supported. In so doing look for ways to do things better bringing improvements to existing services or helping to open up new markets and opportunities.

- 4.3 Satisfaction of customer's needs is a vital element in successful service delivery. The service has reviewed inherited approaches to work, for example saying 'yes' to every enquiry from potential clients. This practice sometimes resulted in insufficient capacity to deliver work on time or to the requested client quality. The inherent danger being a reputation for broken promises, poor workmanship, late delivery and potentially little repeat work with outside customers.
- 4.4 The apprentice programme is seen as central to growth and development of the team in the medium term. It is helping increase work 'capacity', provide flexibility and new avenues for client service offerings, in addition to addressing succession planning issues resulting from an ageing predominantly manual workforce.

5 SAVINGS 2012/13

- 5.1 The £45,000 efficiency saving for 2012/13 can be achieved through a combined approach. The removal of one vacant permanent post within the current grounds maintenance establishment not associated with income generation activities with a reallocation of responsibilities taking place to ensure service standards maintained. These measures would be combined with further control on overtime.

6. FINANCIAL IMPLICATIONS

- 6.1 Officers have been looking at potential areas of savings, income generation and streamlining and realigning of current functions for some time now and have discussed the issues with staff, trades unions and the Portfolio Holder.
- 6.2 If Members do not wish to support some or all of these recommendations then your Officers will need to re-examine these proposals as quickly as possible.
- 6.3 Whilst there may well be functions and areas of delivery about which Members have strong views, your Officers do believe that the proposals they are submitting whilst challenging do offer the best solution for the Division moving forward and makes us fit for purpose.

7. KEY RISKS

Within these proposals there are no "risks" in respect of sustainability but some of the proposals require increased income targets.

Impact of Service Users

- 7.1 A Diversity Impact Assessment has been undertaken and attached as **Appendix 2**.

Impact on Staff

- 2.2 Communication with the trade unions and staff who may be affected by these recommendations has been undertaken.

Any Other Key Risks

- 7.3 The savings proposal for 2012-13 is achievable, however this does place pressure on income generation capacity and assumes current frontline service standards are respected and the necessary staffing levels being maintained.
- 7.4 However unlikely, if income shortfalls became apparent and it became necessary to look at alternatives, cuts to service 'standards' remain a possibility. Frontline staffing levels are currently 'critical' and to make substantive workforce cuts would have an undesirable 'multiplier' impact on any income generation capacity and core service delivery ability.

8. COMMENTS FROM TRI-PARTITE MEETING

- 8.1 There were several questions but no adverse comments from the Tri-Partite meeting.

9. CONCLUSIONS

- 9.1 With reference to the previous years' positive service out-turns for Parks and Countryside the allocated efficiency target is achievable through the removal of one vacant post within the current grounds maintenance establishment combined with further control on overtime.
- 9.2 The proposed reduction acknowledges the desire to maintain frontline service standards. It also recognises the income generation track record within Parks and Countryside and the key role workforce capacity plays in its income generation ability. The sections workforce training, development and flexible capacity growth approach (apprentices, seasonal contracts etc.) needs to continue as an important priority.

10. RECOMMENDATION

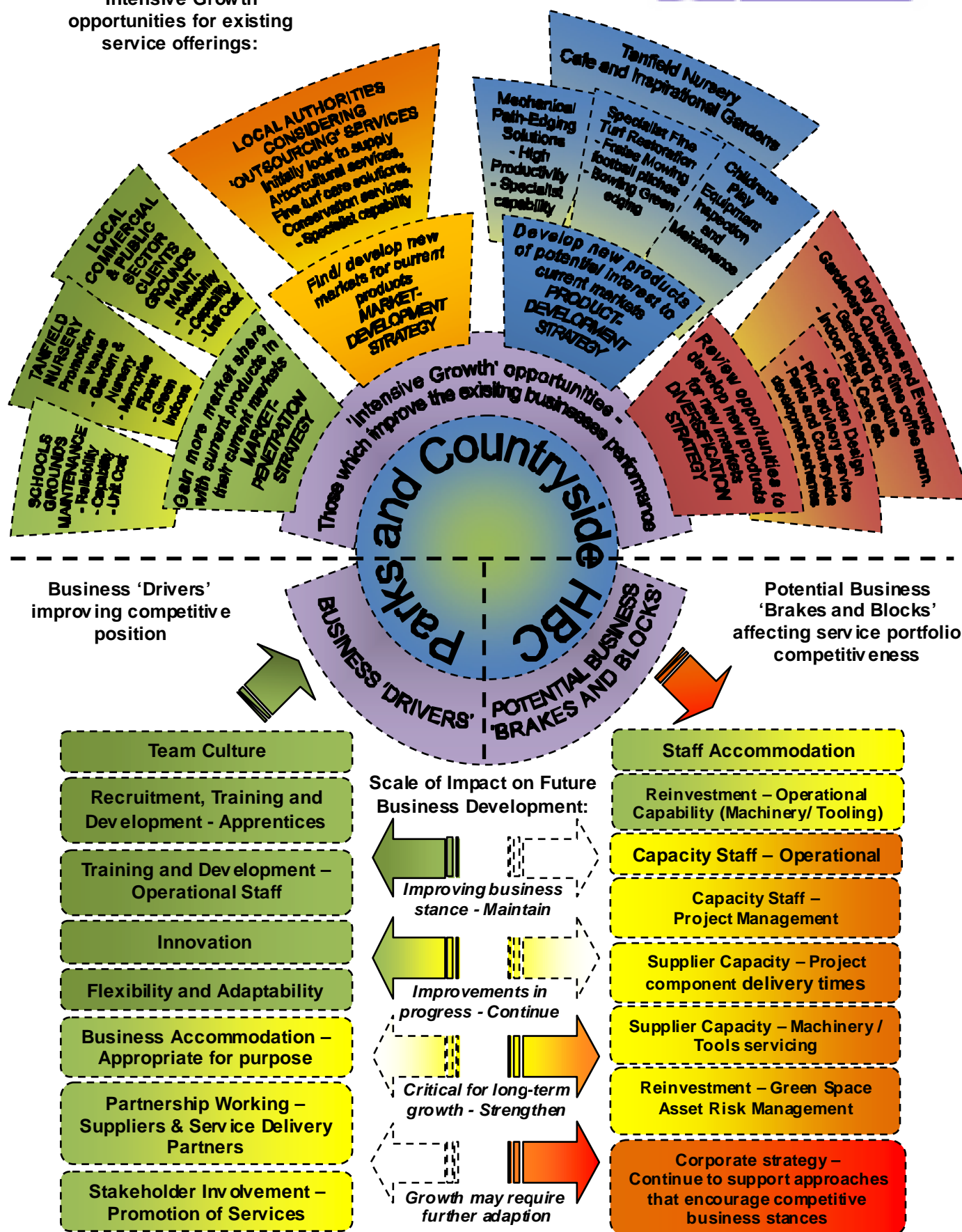
- 10.1 That the Parks and Countryside Service target for 2012/13 of £45,000 is taken from core grounds maintenance funding. This in turn will be supported through income generation activities.

11. CONTACT OFFICER

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Parks and Countryside
'Intensive Growth'
opportunities for existing
service offerings:



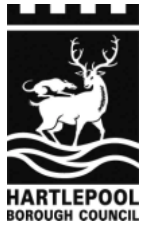
APPENDIX 2

Impact Assessment Form

Department	Division	Section	Owner/Officer
R&N	Neighbourhood Services	Parks and Countryside	Denise Ogden
Function/Service	Parks and Countryside - Income generation opportunity through increased sales and obtaining work at horticulture nursery.		
Information Available	Sales figures, future income projections, customer satisfaction with existing service.		
Relevance	<p><i>Identify which strands are relevant to the area you are reviewing or changing</i></p> <p>Age</p> <p>Disability</p> <p>Gender Re-assignment</p> <p>Race</p> <p>Religion</p> <p>Sex</p> <p>Sexual Orientation</p> <p>Marriage & Civil Partnership</p> <p>Pregnancy & Maternity</p>		
Information Gaps	None		
What is the Impact	<p>The service standards provided to all residents and clients will not be impacted upon with the reduction in budgets as the focus is on income generation through obtaining additional work and sales at horticulture nursery.</p> <p>A vacancy within the existing structure will not be filled this will not impact on staffing.</p>		
Aim 1: Eliminate unlawful discrimination, harassment, victimisation, and any other conduct prohibited by the act.			
none			
Aim 2: Advance Equality of opportunity, between people who share protected characteristics and those who don't.			
none			
Aim 3: Foster good relations between people who share a protected characteristic and those who do not share it.			
none			
Addressing the impact	<p>1. No Major Change ✓ The proposal is robust there is no potential for discrimination or adverse impact. All opportunities to promote equality have been utilised.</p> <p>2. Adjust/Change</p> <p>3. Continue as is</p> <p>4. Stop/Remove</p>		
Action identified	Responsible Officer	By When	How will this be evaluated?
Date sent to Equality Rep for publishing		12/10/11	

CABINET REPORT

24 October 2011



Report of: Chief Customer and Workforce Services Officer

Subject: SECURITY ARRANGEMENTS

SUMMARY

1. PURPOSE OF REPORT

To request Cabinet consideration of a review undertaken of security arrangements in the Civic Centre which provide protection for staff, Elected Members, visitors and the public and seek a decision regarding the options identified.

2. SUMMARY OF CONTENTS

The report sets out the background to the Council's health and safety responsibilities as an employer and service provider, specific security arrangements in key buildings open to the public and identifies options for Members to consider in light of risk assessments that have been undertaken.

3. RELEVANCE TO CABINET

Arrangements for the health, safety and wellbeing of staff, Elected Members and visitors on this scale is an Executive function and there are potential budget pressures which may need to be addressed.

4. TYPE OF DECISION

Non-key

5. DECISION MAKING ROUTE

Cabinet

6. DECISION(S) REQUIRED

That Cabinet

- considers the review of security arrangements in the Civic Centre as set out in the report and appendices and
- determines which option, if any, they wish to be implemented and identify the necessary resources required.

CABINET REPORT

24 October 2011



Report of: Chief Customer and Workforce Services Officer

Subject: SECURITY ARRANGEMENTS

SUMMARY

1. PURPOSE OF REPORT

- 1.1 To request Cabinet consideration of a review undertaken of security arrangements in the Civic Centre which provide protection for staff, Elected Members, visitors and the public and seek a decision regarding the options identified.

2. BACKGROUND

- 2.1 The health, safety and wellbeing of Council employees, service users and those who work with the Council to provide services is a legal responsibility of the Council and key individuals within the organisation. As the organisation makes changes to the design, nature and delivery of services it provides through employees or with partners it is required to review the impact on the health, safety and wellbeing of those who might be at risk as a result.
- 2.2 Where the risk to anybody is significant then the Council must record this and put in appropriate control measures to reduce this risk so far is reasonably practicable and then bring the findings of the assessment to the attention of the employees who are exposed to this risk.
- 2.3 The Council delivers a range of different services from a number of different buildings. All building are subject to a regular health and safety inspection depending on the assessment of risk. Those buildings that are open to the public to access services are assessed accordingly. The Council's budget and transformation programme has resulted in some buildings closing, the functions of some building changing and some services being delivered from new locations. Additionally, the resources that are available corporately to deliver services are reducing at a time when there may be greater demand for services.

- 2.4 This dynamic environment requires the Council to keep under constant review the impact on arrangements it has in place for protecting the health, safety and wellbeing of employees, Elected Members, the public and others. This report sets out the outcomes of a recent review of security arrangements in the council's building, provides options for Cabinet to consider and determine next steps.

3. CIVIC CENTRE

- 3.1 All entrances and exits to the Civic Centre building, other than the public entrance from the Concourse, are controlled by an electronic door access system which has recently been upgraded. The administration and control of access cards is managed by the Facilities Management Team in the Regeneration & Neighbourhoods Department. Generally the security of the building is considered good.
- 3.2 The main security risk in the Civic Centre is within Hartlepool Connect. Hartlepool Connect was established in 2007 as the Council's first point of contact for all personal visitors, the different Civic Centre reception areas were significantly refurbished. The new concept and design was intended to be welcoming to all visitors and flexible enough to meet various needs and demands, hence the layout and type of furnishings. Arrangements for avoiding, defusing or responding to violent or aggressive service users was intended to be by means of a security presence.
- 3.3 A security guard has been provided to the Civic Centre for a substantial period of time. Unfortunately limited records have been maintained of the incidents to which a Security Guard has responded. Equally it is not possible to quantify how many incidents may have been averted by the presence of a Security Guard.
- 3.4 As part of the Facilities Management SDO review the funding and provision of a Security Guard was identified as a cost saving which was accepted by Council as part of the 2011/12 budget and funding was duly withdrawn. A Security Guard continues to be deployed however following concerns raised by Trade Union representatives, the Joint Chairs of the Local joint Consultative Committee (LJCC) and individual members of staff. This cannot be sustained permanently without the appropriate budget being allocated.
- 3.5 More recently Elected Members have requested that a risk assessment be undertaken in respect of Council meetings where a large public audience is expected and there are contentious items on the agenda, that an evacuation plan be compiled and shared with Members, that there be an increased security presence and that a security camera be installed in the Council Chamber.
- 3.6 A risk assessment was duly prepared on the issue of public meetings and the necessary control measures implemented, albeit on a temporary basis (**Appendix 3**).

- 3.7 The potential impact of withdrawing the budget for a security guard on the operational requirements of others using the Contact Centre and the wider Civic Centre building however has been subject to further review in light of the current and future context by the Health, Safety and Wellbeing Manager who has prepared a risk assessment attached as **Appendix 1**. The assessment identifies:

- the risks associated within Hartlepool Connect;
- the duties currently undertaken by a Security Guard which would need to be reallocated and;
- the potential areas of concern that more “safety by design” will be required to ensure safety of staff.

A summary of the various options is also attached as **Appendix 2**.

- 3.8 There is no perfect solution to the problem of violence and aggression as it can be a completely random event triggered by a wide range of factors. For example, the recent alterations to the Central Library, which was primarily aimed to improve the entrance, has seen a significant drop in the number of incidents being reported to the Health & Safety Team through the submission of Safety Incident Reporting Forms (SIRFs). This demonstrates that by ensuring an appropriate atmosphere and environment, stress and aggression can be reduced to the benefit of both staff and visitors. This is particularly important in the Civic Centre where Hartlepool Connect deals with over 170,000 visitors per annum on behalf of all three Council departments and Elected Members.
- 3.9 The situation at the Civic Centre is more complex to assess than the Library as there have been some serious incidents culminating in access to the building being refused to some people: these exclusions are enforced by the Security Guard on duty. This means that some incidents in the Civic Centre are foreseeable and demonstrate that the control measures which have been put in place have hitherto proved to be acceptable i.e. the provision of a security guard has ensured excluded people do not gain access and have been prevented from causing disruption should they attempt entry. Any changes to the control measures therefore need to be justifiable to ensure that there is not a significant escalation of risk.
- 3.10 It is very difficult to quantify increased risk however the Contact Centre is a dynamic service. It is the main access point to a wide range of Council services. More services will migrate to the Civic Centre from other less suitable locations e.g. Bryan Hanson House, Church Street, etc. Other services bring with them additional risks e.g. car parking fines and complaints. Pressures on staffing budgets generally across all departments may increase waiting times for visitors. The mix of people waiting can also increase the risk of incident.

4. OTHER BUILDINGS

4.1 Bevan House

There are other buildings where there are risks to staff from the public most notably Bevan House which handles approximately 8500 visits per year.

The reception area is more enclosed and service users are there for a narrow range of service support from dedicated staff. This contributes to controlling the risk of incidents arising. When incidents do occur staff are generally already in a place of relative safety until assistance arrives.

4.2 Bryan Hanson House

There have been concerns raised in the past regarding the reception area particularly the low part of the counter (designed to assist disabled customers) which could be a point of people climbing over. Staff can retreat to a secure office and the reception is covered by CCTV. The risk of aggression has been reduced as those customers who are most likely to be more aggressive (e.g. those responding to parking fines) are dealt with via the contact centre the situation in this building has improved.

4.3 Church Street

Customers at Church Street tend to limited to those who need a specific service or are there to attend a meeting so the likelihood of them being aggressive is very low. In addition the door is secure and the reception area enclosed so control is quite strong so the risk of an incident occurring is quite low

5. FINANCIAL IMPLICATIONS

- 5.1 The financial implications of the four options which have been identified for Cabinet consideration are shown in column four of the table in Appendix 3 and are summarised in the table below.

Summary of options and costs

Additional Requirements	Financial implications
Option 1. Remove security No alterations	Savings of approx £17 000 achieved. Training cost for staff with responder role (assuming staff accept responsibility). Re-evaluation of staff with responder roles (assuming staff accept responsibility). Insurance implications if claims increase.
Option 2. Remove security No alterations Increased staff presence .	Savings of approx £17 000 achieved. Training cost for staff with responder role (assuming staff accept responsibility). Re-evaluation of staff with responder roles (assuming staff accept responsibility). Insurance implications if claims increase Training costs for enhanced customer care skills. If HC resources were reallocated to front of house duties there would be no additional cost however telephone/email performance would deteriorate.
Option 3:	Estimated capital expenditure circa £50,000

Physically alter the layout of the contact centre to improve safety using “safety by design principles”.	
Option 4: Reinstate the security presence	Estimated £19 000 per annum

5.2 If any of the options are implemented this will result in unbudgeted costs which will increase the savings that need to be made for 2012/13.

6. RECOMMENDATION

6.1 That Cabinet

- considers the review of security arrangements in the Civic Centre as set out in the report and appendices and
- determines which option, if any, they wish to be implemented and identify the necessary resources required.

RISK ASSESSMENT – Civic Centre Reception (following concerns regarding removal of security guard)

Location Main Reception, Civic Centre **Assessors** Stuart Langston **Date** May 2011

Task Visitors and staff **Checked by Service Manager** Joanne Machers **Review Date**

Ref No

Background

This risk assessment has been prepared in response to a decision to remove the security guard from the Civic Centre reception. It is estimated that the current footfall into the contact centre is 100 000 per annum and a separate 70 000 per annum to the cash desk giving an estimated 170 000 people using this area. This gives a significant number of people using the services of this area. As these are predominantly members of the public it is impossible to predict the behaviour as there have been incidents of verbal abuse, threats of violence and drug use in the public toilets. The very nature of the services provided by the council means that some of the most challenging and vulnerable people in the town visit the Civic Centre. This has been compounded by the relocation of the Registrars service so young children and bereaved family members are using the contact centre and as such may be much less inclined to put up with verbal abuse, swearing etc in the public area. This means that there is a very real risk that situation may be exacerbated by members of public having a go to tackle any antisocial behaviour in the contact centre. In addition there are some particularly high risk activities such as people coming into pay fines, try and recover their vehicle (removed for traffic offences) or obtain their money such as when the council has appointeeship responsibilities. In addition from time to time certain individuals are sent letters referring their entry to the Civic Centre. If the security guard is removed there would be no mechanism for preventing entry other by the use of existing staff who are not trained or appointed for this role.

Hazard	Who is particularly at risk	Existing Control Measures	Residual Risk Hi/M/Lo	If High or Med, further action required to reduce risk to acceptable level
Reception Enquiries, Meetings and Interviews - Abuse, violence and aggression	All staff & visitors	<ul style="list-style-type: none"> Violence and aggression training undertaken by majority of staff. Provision of guidance notes to all staff on safe use of interview rooms. Security Pendants available to all staff using interview rooms. Health and safety guidance notes issued to all contact centre staff. Two interviewers conduct interviews where there is a high risk requirement. CCTV recording to enable possible identification 	M	<ul style="list-style-type: none"> If Security guard removed then the following additional security measures to be implemented. All places of greeting and or interview are to have a suitable fixed barrier between the customer and the service provider (council employee). The council employee should be able to back away from the customer if necessary to a place of relative safety. The information point may need to be redesigned or relocated. A thorough review will be required as to

Hazard	Who is particularly at risk	Existing Control Measures	Residual Risk Hi/M/Lo	If High or Med, further action required to reduce risk to acceptable level
		of abusive customers as well as to act a deterrent.		<p>which service users are seen at the contact centre as it may be necessary to place glass screens across the desks to make it more difficult to cross the desk or drag someone over it.</p> <ul style="list-style-type: none"> • The security pendant arrangement will need to be reviewed as there will no suitable response. Certain staff will need to be trained in how to tackle certain situations and they must be available for example via a rota to deal with an activation of the Council's emergency procedures via the activation of the pendant. • Revised CCTV monitoring arrangements will be required with staff training and liaison with the police. • Communication will need to be undertaken with the police regarding what response the council can expect in an emergency e.g. activation of the alarm and any potential times this response may take. • This police information will also be required for when people are damaging furniture. • Additional bells/beacons will be required to ensure staff do not enter a hazardous zone in the event of an incident as they may inadvertently allow the perpetrator into the building. • As the doors stay open in the event of a fire alarm new arrangements are required to ensure they are monitored by a fire warden to avoid unauthorised re-entry in the event of a bell activation. • It is expected that damage to seating and other physical items such as the toilets etc will increase. As furniture becomes damaged it is proposed to alter to more low risk

Hazard	Who is particularly at risk	Existing Control Measures	Residual Risk Hi/M/Lo	If High or Med, further action required to reduce risk to acceptable level
				<p>equipment possible secured to the floor, vandalism restricted material etc. The situation will need to be monitored via recorded daily checks to determine the extent of any vandalism prior to any review taking place.</p> <ul style="list-style-type: none"> New arrangements will be required to allow access into the building for public/ meetings as the security guard undertakes key holder duties. The door will also need to be re secured at the end of the working day <p>Arrangements required for escorting to event/meeting e.g. in civic Suite</p>
Threats to the public using the Contact Centre/Cash Desk		<ul style="list-style-type: none"> Security Guard oversees the use of the contact Centre any verbal abuse, behaviour which could cause disturbance is challenged. Know trouble makers observed and if necessary challenged. 	M	<ul style="list-style-type: none"> If no security guard present there is no arrangement in place to challenge any trouble makers hanging about. This of particular concern as some members of the public use the cash desk to cash cheques, staff use to collect petty cash, floats etc. they could therefore be observed, followed and robbed. This may be very difficult whilst staff are busy with customers. Arrangements to be developed so that staff are trained to observe suspect behaviour. Advice to staff about collecting cash. Communication will need to be undertaken with the police regarding what response the council can expect in the event of any suspicion.
Injury to staff working within the public area. - Staff being struck with liquids or objects.	All staff & Visitors	<ul style="list-style-type: none"> Reception counter prevents access to the rear of reception to members of the public. Moveable objects within the reception area to be kept to a minimum. Security presence available in main reception to discourage people from becoming violent or aggressive. Staff aware of exit arrangements should objects 	M	<ul style="list-style-type: none"> Equipment should be secured within the reception area to prevent throwing where possible Staff training in dealing with acts of violence and aggression. If security guard removed the layout and design of the contact centre will need to be reviewed to minimise the threat of injury.

Hazard	Who is particularly at risk	Existing Control Measures	Residual Risk Hi/M/Lo	If High or Med, further action required to reduce risk to acceptable level
		be used in aggressive behaviour.		Some examples for consideration are considered above.
Goods deliveries - Access by unauthorised personnel - Obstruction of access ways	All staff & visitors	<ul style="list-style-type: none"> Security Guard oversees that internal security door not left unattended or open for long periods of time Receptionist informs relevant member of staff as soon as goods have been delivered. 	M	<ul style="list-style-type: none"> If the security guard is removed then new arrangements will need to be put in place. Signs to be displayed throughout building reminding staff not to obstruct emergency exit doors/access ways and to store equipment safely in a suitable location. Staff to be reminded to deal with deliveries immediately. No unauthorised access. All staff to ensure they challenge people and report if they are ignored or receive abuse.
Out of Hours Working - Lack of assistance for accident/incident - Doors have been left open.	All staff & visitors	<ul style="list-style-type: none"> After hours to be signed after 6.00 pm and on departure. 	M	<ul style="list-style-type: none"> Reminder to staff of requirement to sign "out of hours" book. New arrangements required to allow access into the building for public meetings. The door will need to be re secured following arrival. Arrangements required for escorting to event/meeting
Bomb threats/terrorism	All staff & visitors	<ul style="list-style-type: none"> Corporate <u>Bomb Incident Procedure</u> in place. ID badges for visitors to building. Staff have received training on bomb threats mainly related to postal issues. Bomb Wardens have been trained on the implications of bombs. 	L	Refresher training to be provided
Electrical equipment - Shocks	All staff & visitors	<ul style="list-style-type: none"> Annual appliance testing of portable electric equipment and five yearly checks on static equipment. Visual checks of electronic equipment. 	L	Annual Inspection undertaken
Entering the building - Slips, trips & falls	All staff & visitors	<ul style="list-style-type: none"> Elimination of loose, trailing wires/cables. Wet cleaning of floors carried out after normal working hours. Signage used to warn that floor is wet. Arrangements for any spillages to be 	H	<ul style="list-style-type: none"> Reminder to staff to complete Safety Incident report forms

Hazard	Who is particularly at risk	Existing Control Measures	Residual Risk Hi/M/Lo	If High or Med, further action required to reduce risk to acceptable level
		<p>immediately cleaned up.</p> <ul style="list-style-type: none"> • Arrangements for gritting and clearance of snow, drying of floor and suitable matting at entrances. • All slips, trips or falls reported on Safety Incident report forms. 		
Fire	All staff & visitors	<ul style="list-style-type: none"> • Good fire detection and regular alarm testing and maintenance. • Annual inspection carried out by the Fire Authority and Wellbeing team. • Good evacuation procedure, fire signs to current requirements. • Strict controls on smoking. • Security guard monitors for any potential arson. • Hartlepool Connect fire procedures in place. 	M	<p>If no security guard in place it may be difficult to challenge or prevent people smoking in the contact centre.</p> <p>It will also be difficult to detect any arson.</p> <p>Arrangements will be required to monitor the area regularly and challenge any issues. Staff undertaking these tasks should be suitable and trained for this task.</p>

6.2 Appendix 2

Options regarding security arrangements at the Contact Centre

Option 1. Remove security and make no alterations			
Additional Requirements	Pro	Con	Financial implications
<p>Civic Attendant or similar will need to be reallocated to open/secure doors as appropriate.</p> <p>Civic Attendant or similar will need to escort public/guest to meeting rooms in the Civic Suite and escort out at the end of meeting. (This will also be required for out of hours.)</p> <p>Staff would need to be identified, trained to respond to "panic" alarms in the Contact Centre.</p> <p>Where there a significant complaint a "face to face" response required by an officer from the service department.</p>	<p>No expenditure required and the saving for the security guard remains</p>	<p>There is a foreseeable risk of injury to staff working in the contact centre.</p> <p>Other staff would need to respond to an incident as it may take the police up to an hour to respond.</p> <p>Hartlepool Connect staff may refuse additional duties as responder to incidents.</p> <p>Officers in service departments may refuse additional duties as responder to incidents.</p> <p>Staff who respond to incidents will be a higher risk of verbal or physical assault, giving rise to insurance and health and safety implications.</p> <p>There is a significant risk that the Contact Centre would become run down as there is less of an immediate and physical deterrent to take care of chairs, toilets etc.</p> <p>Members of the public including children are in the vicinity and may be injured or witness violent or aggressive behaviour.</p> <p>There is a chance that a situation may be exacerbated by "have a go heroes".</p>	<p>Savings of approx £17 000 achieved.</p> <p>Training cost for staff with responder role.</p> <p>Re-evaluation of staff with responder roles.</p> <p>Insurance implications if claims increase.</p>

Option 2. Remove security no alterations increased staff presence			
Additional Requirements	Pro	Con	Financial implications
<p>Civic Attendant or similar will need to be reallocated to open/secure doors as appropriate.</p> <p>Civic Attendant or similar will need to escort public/guest to meeting rooms in the Civic Suite and escort out at the end of meeting. (This will also be required for out of hours.)</p> <p>Staff would need to be identified, trained to respond to "panic" alarms in the Contact Centre.</p> <p>Where there a significant complaint a "face to face" response required by an officer from the service department.</p> <p>Regular 'floor walking' by staff with enhanced customer care skills to calm situations and encourage good behaviour.</p>	<p>Some of the savings from the security contract can still be achieved, staff presence much more approachable than a "security presence".</p>	<p>There is a foreseeable risk of injury to staff working in the contact centre.</p> <p>Other staff would need to respond to an incident as it may take the police up to an hour to respond.</p> <p>Hartlepool Connect staff may refuse additional duties as responder to incidents.</p> <p>Officers in service departments may refuse additional duties as responder to incidents.</p> <p>Staff who respond to incidents will be a higher risk of verbal or physical assault, giving rise to insurance and health and safety implications.</p> <p>There is a risk that the Contact Centre would become run down as there is less of an immediate and physical deterrent to take care of chairs, toilets etc.</p> <p>Additional costs from increase HC staff presence.</p> <p>Staff are put at risk as they will first point of challenge.</p> <p>Members of the public including children are in the vicinity and may be injured or witness violent or aggressive behaviour.</p> <p>There is a chance that a situation may be exacerbated by "have a go heroes".</p>	<p>Savings of approx £17 000 achieved.</p> <p>Training cost for staff with responder role.</p> <p>Re-evaluation of staff with responder roles.</p> <p>Insurance implications if claims increase</p> <p>Training costs for enhanced customer care skills.</p> <p>If HC resources were reallocated to front of house duties there would be no additional cost however telephone/email performance would deteriorate.</p>

Option 3: Physically alter the layout of the contact centre to improve safety using “safety by design principles”.			
Additional Requirements	Pro	Con	Financial Implications
<p>Civic Attendant or similar will need to be reallocated to open/secure doors as appropriate.</p> <p>Civic Attendant or similar will need to escort public/guest to meeting rooms in the Civic Suite and escort out at the end of meeting. (This will also be required for out of hours.)</p> <p>Significant alterations to the Contact Centre to improve barriers between staff and service users and allow for staff to retreat to a place of safety.</p> <p>Where there a significant complaint a “face to face” response required by an officer from the service department</p>	<p>Reduced risk of an incident resulting in injury (an individual is less likely to be pulled across a desk.)</p> <p>The member of staff can retreat to a place of safety this would leave the Contact Centre sterile.</p>	<p>Initial capital expenditure for alterations required.</p> <p>This goes against the original concept of an open welcoming contact centre as oppose to a “bank” approach and which exists for the Cash Office service desks.</p> <p>This would not solve issue of people leaping over barrier before staff retreat.</p> <p>Members of the public including children are in the vicinity and may be injured or witness violent or aggressive behaviour.</p> <p>There is a chance that a situation may be exacerbated by “have a go heroes”.</p>	<p>Estimated capital expenditure circa £50000</p>

Option 4: Reinstate the security presence			
Additional Requirements	Pro	Con	Financial implications
<p>Provide clear instructions as to the duties and responsibilities regarding the role.</p> <p>Record and monitor all customer activity within certain parameters.</p> <p>Report and monitor Employee Protection Register.</p> <p>Regular incident response exercises.</p>	<p>Staff are trained and experienced in safety procedures.</p> <p>Staff have confidence in arrangements and perceptions/fear of verbal or physical assault is minimal.</p> <p>Response to threatened assaults or serious incidents dealt with quickly.</p>	<p>Loss of the saving already identified as part of a SDO.</p> <p>Day to day management/monitoring of security guard required.</p>	<p>Estimated £19 000 per annum</p>

General Risk Assessment Form

Health, Safety and Wellbeing Team

Version: 01

Location	Various Locations Across Hartlepool	Assessor	Stuart Langston	Issue Date:	22 8 11
Task	Public Meetings	Checked by Manager	Joanne Machers	Ref no:	

Where use of PPE is required, specify the type. PPE is to be used as a last resort - steps should first be taken to prevent or reduce risk at source by use of engineering controls and systems of work.

What are the hazards? What could happen? Please list	Who is particularly at risk	Existing control measures	Risk (after precautions have been taken) High/Medium/Low	Further action required to reduce risk to an acceptable level
Violence and Aggression	Elected Members/ Committee Support Staff Public	Most public meetings are held in the Civic Centre, which is relatively secure in that access is controlled. The car park for the elected representatives is secure. Separate entry/exit available for members to the public to minimise attack in heat of the moment. At present there is security (SIA qualified) on the Contact Centre to control entrance.	Medium	Ensure arrangements in place to control access to the venue to ensure that it does not exceed capacity. Disabled area set to ensure safe evacuation. Meetings should be rated, high, medium and low depending on risk of disturbance. If High, e.g. High media interest such as TV present, contentious issue discussed - venue to be secure, additional security measure required such as metal detection, bag searches, and additional security. Contingency plans for evacuation of members etc Medium risk - additional security presence and contingency plans for evacuation of members etc Low risk – normal arrangements in place e.g. consideration of venue for access and security, potential support if an event occurs.

General Risk Assessment Form



Health, Safety and Wellbeing Team

Version: 01

What are the hazards? What could happen? Please list	Who is particularly at risk	Existing control measures	Risk (after precautions have been taken) High/Medium/Low	Further action required to reduce risk to an acceptable level
				Consideration needs to be given to the ballot or ticket entry to the meeting to ensure fair access when capacity of venue is reached. (this needs to be considered by legal) Preparation of guidance note for the organisers of public meetings. Briefing to members of the importance of advising committee clerks/legal or chair of meeting if subject matter is contentious or they (or their constituents are planning a protest) to ensure police support/agreement to avoid the protest being hijacked for nefarious purposes.]
[Fire]	[Elected Members/ Committee Support Staff/Public]	[The Chair of the relevant committee or committee clerk is expected to read out the fire evacuation procedure and use of any hearing aid devices etc. at the start of the meeting. The committee clerk would also assist disabled to leave the building. Council Buildings Staff are expected to have received fire awareness training. The buildings have regular fire safety checks by the location managers or officers from the health, safety and wellbeing team. Fire fighting equipment is inspected annually by a competent contractor as is smoke detection, fire alarms, emergency lighting as appropriate.]	[Medium]	[Where meetings are held in none council buildings confirmation is required regarding the capacity of the venue, fire detection, emergency lighting and fire fighting equipment arrangements. Checklist to be created to assist organisers to obtain the relevant information and select the venue]

General Risk Assessment Form



Health, Safety and Wellbeing Team

Version: 01

What are the hazards? What could happen? Please list	Who is particularly at risk	Existing control measures	Risk (after precautions have been taken) High/Medium/Low	Further action required to reduce risk to an acceptable level
Slips, Trips and Falls	Elected Members/ Committee Support Staff/Public	Venues provided by the council are regularly inspected for safety standards. Computer presentation equipment displays etc are positioned to allow for safe movement of people. This minimises trailing cables etc. Venues chosen are normally used by the public on a routine basis so regular checks are main of walkways etc.	Medium	Arrangement to be put in place for inspecting access to a venue etc during periods of bad weather e.g. snow, ice, localised flooding etc. It may be necessary to arrange for area to be gritted etc or (where practical) relocate meeting or adjourn the meeting to a later date. Meeting organiser to discuss with venue manager any specific requirements prior to the meeting.
Electrocution	Elected Members/ Committee Support Staff//Public	Visual check of cables and equipment prior to use. Equipment provided by the council is generally portable appliance tested on an annual basis. The fixed electrical installation where practicable is inspected by a competent person every 5 years	Low	Where the equipment and venue is not controlled then a visual check of the condition of the portable electrical equipment should be undertaken prior to the use.

Review of Assessment					
Review Date	Are the risks controlled so far as is reasonably practicable?	Is this Assessment still valid?	Date for next review	Assessor/ Reviewer (Name and signature)	Checked by Manager (Name and signature)

General Risk Assessment Form

Health, Safety and Wellbeing Team

Version: 01

Please note that each assessment should be reviewed as a minimum annually or sooner if a change to the working, new legislation or industry practice occurs. Each assessment can be reviewed a maximum of three times before requiring replacement. The Health, Safety and Wellbeing Team are to be contacted for assistance if you require any help with the initial assessment.

**RISK RATINGS MATRIX**

Likelihood Ratings	Severity Ratings
Unlikely (Low)	Slight Injury i.e. cuts, bruises
Possible (Medium)	Serious Injury i.e. fracture, deep laceration
Certain (High)	Major Injury i.e. fatality, loss of limb

Likelihood	Severity		
	Slight	Serious	Major
Low	L	M	M
Medium	M	M	H
High	M	H	H

CABINET REPORT

24th October 2011



Report of: Director of Regeneration and Neighbourhoods

Subject: LOCAL ENTERPRISE PARTNERSHIP/TEES
VALLEY INVESTMENT PLAN

SUMMARY

1. PURPOSE OF REPORT

To provide an update on the progress on the Tees Valley Local Enterprise Partnership [LEP], the Tees Valley Investment Plan [TVIP] and the Hartlepool activity report following on from the last report to Cabinet on the 21st February 2011.

2. SUMMARY OF CONTENTS

Information outlining the presentation to be undertaken by Stephen Catchpole, Managing Director TVU/LEP on the progress of the LEP, TVIP and the Hartlepool activity report.

3. RELEVANCE TO CABINET

The Government has indicated that it expects LEPs to drive forward integrated strategies for economic development, business support, employment and skills, housing and transportation in their areas.

4. TYPE OF DECISION

Non Key Decision

5. DECISION MAKING ROUTE

Cabinet decision 24 October 2011

6. DECISION(S) REQUIRED

That Members note the progress of the LEP, the TVIP and the activity report relating to the Hartlepool Borough.

Report of: Director of Regeneration and Neighbourhoods

Subject: LOCAL ENTERPRISE PARTNERSHIP/TEES VALLEY
INVESTMENT PLAN

1. PURPOSE OF REPORT

- 1.1 To provide an update on the progress on the Tees Valley Local Enterprise Partnership [LEP], the Tees Valley Investment Plan [TVIP] and the Hartlepool activity report following on from the last report to Cabinet on the 21st February 2011.

2. BACKGROUND

- 2.1 Cabinet agreed at the meeting dated 21 February 2011 to receive 6 monthly progress reports relating to the progress of the LEP and the TVIP. Managing Director of TVU/LEP, Stephen Catchpole will provide a detailed presentation on progress and key issues since the last report was presented to Cabinet. An activity report relating to Hartlepool Borough will also be presented.

3. LEGAL CONSIDERATIONS

- 3.1 There are no legal considerations at this stage, however, this may change should the new LEP be tasked by Government with holding assets and managing contracts. Should this be the case, a report will come back to Cabinet to consider the implications.

4. EQUALITY AND DIVERSITY CONSIDERATION

- 4.1 There are no equality and diversity considerations.

5. RECOMMENDATIONS

- 5.1 That Members note the progress of the LEP, TVIP and the activity report relating to the Hartlepool Borough.

6. CONTACT OFFICER

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CABINET REPORT

24 October 2011



Report of: Director of Child and Adult Services

Subject: PRIORITY SCHOOLS BUILDING PROGRAMME

SUMMARY

1. PURPOSE OF REPORT

To update Cabinet on the progress made in submitting expressions of interest to Partnerships for Schools (PfS) in connection with the recently announced Priority Schools Building Programme.

2. SUMMARY OF CONTENTS

On 19 July 2011, Michael Gove, Secretary of State for Education, set out how the Government proposes to ensure that a new school rebuilding programme will be launched, targeted at those schools in the worst condition.

The Secretary of State has written to Local Authorities, schools and other parties setting out the full details of this announcement and the application process. Applications to be part of the programme had to be submitted electronically to PfS before 1200 noon on Friday 14 October 2011.

The Local Authority has carried out an analysis of condition data across Hartlepool schools which identified four schools as having exceeded the 30% value for money threshold set out by PfS. The applications for these schools are in line with Cabinet's existing strategy under the now abandoned Building Schools for the Future and Primary Capital Programmes.

Following PfS's receipt of applications, schools will be ranked in accordance with condition information, followed by a consideration of the shortcomings of the existing premises and cases of severe pressing basic need.

If we are successful in one or more of the applications, it is only at that stage will we understand better the level of resource commitment required by both the Council and schools to move forward although the Government has made a clear statement that it wishes to reduce the amount of time and resourcing required by all parties in order to deliver this programme.

Cabinet will receive further updates on these issues as decisions are announced later in the year.

3. RELEVANCE TO CABINET

Cabinet are requested to consider the progress made to date with applications for the Priority Schools Building Programme.

4. TYPE OF DECISION

Non Key.

5. DECISION MAKING ROUTE

Cabinet for information on 24 October. Key decision to be made by Cabinet once successful applications are announced.

6. DECISION(S) REQUIRED

Cabinet are recommended to note the progress made to date with applications for the Priority Schools Building Programme and to receive further updates on this matter as decisions by the Secretary Of State for Education are announced.

Report of: Director of Child and Adult Services

Subject: PRIORITY SCHOOLS BUILDING PROGRAMME

1. PURPOSE OF REPORT

- 1.1 To update Cabinet on the progress made in submitting expressions of interest to Partnerships for Schools (PfS) in connection with the recently announced Priority Schools Building Programme.

2. BACKGROUND

- 2.1 On 19 July 2011, Michael Gove, Secretary of State for Education, set out how the Government proposes to ensure that a new school rebuilding programme will be launched, targeted at those schools in the worst condition.
- 2.2 The programme will be privately financed and is intended to address those schools in the worst condition. It is anticipated that the programme will cover the equivalent of building or rebuilding approximately 100 secondary schools. Whilst the full scale of the programme is still to be finalised, it is likely to include a mix of primary schools, secondary schools, special schools, sixth form colleges and alternative provision, and therefore could cover between 100-300 schools in total. It is expected that 20% of the total programme will be delivered each year, with the first schools scheduled to open in the academic year of 2014-15. Those schools included in the initial group for procurement are expected to commence procurement during the second quarter of 2012. A letter has been received from Partnerships for Schools setting out the application process and timetable and inviting submissions - see **Appendix 1**.
- 2.3 Applicants needed to register in order to be able to submit an application, and this had to be done before 1200 on 7th October 2011. Applications to be part of the programme had to be submitted electronically to Partnerships for Schools (PfS) before 1200 on Friday 14 October 2011.
- 2.4 Local Authorities were required to be responsible for co-ordinating and submitting applications from all maintained schools within their area (including Voluntary Aided, Voluntary Controlled and Foundation schools).
- 2.5 The programme will be based on a long-term private finance arrangement (approximately 27 years) where the building maintenance, including soft services, will be provided by a third party. It is intended that the private finance model used will be “developed and improved to deliver more

flexibility, better risk transfer arrangements and improved value for money”, although there are no details provided yet as to how this will be achieved. It would seem that the capital element and funding costs of the PFI are going to be funded centrally which would take away some of the usual upfront affordability issues from local authorities/schools although FM costs will need to be funded at a local level.

- 2.6 It is anticipated that the contract will be procured by a central body and that, for procurement purposes, each school will be batched together with a number of other schools, although not necessarily in the same geographic area. Whilst the procurement will be centralised, it may be that local authorities or individual schools will be the contracting parties.
- 2.7 Procurement will be based on standardised designs (subject to site constraints, planning requirements and a limited amount of local choice).
- 2.8 Schools will be required to make a contribution to the annual revenue payments, to cover such areas as facilities management and maintenance costs, which has been estimated at approximately £55 per m² based on 2010 prices. Schools will continue to pay for utilities and rates and will carry responsibility for some elements of contract management. VA schools may be required to make a further contribution to the cost of the scheme (possibly 10%).
- 2.9 Applications in respect of schools which have received major investment in the last 15 years (e.g. a new or replacement school or refurbishment of more than 50% of the existing buildings) are unlikely to succeed.

3. APPLICATIONS

- 3.1 Information required for the submission of applications included:
 - Demand - schools must have a sufficient long-term pupil demand requirement.
 - Condition - schools must be able to demonstrate that they are in a poor condition, and applications will need to be supported by data extracted from a condition survey obtained or updated within the two years prior to the date of the application. The survey must be carried out by a suitably competent professional. The online application form automatically calculates whether the cost of addressing the current condition of the school will exceed a 30% threshold of the notional rebuilding cost. If condition need is below 30%, then it is unlikely that it would be ‘value for money’ to include the school in the programme. At the same time, there is no guarantee that schools achieving the threshold will be included in the programme. Estimates of Priority 1, 2 and 3 condition work has had to be included within the applications.

- Shortcomings - any shortcomings of the existing premises had to be highlighted i.e. range of accommodation, comfort of building environment or provision for health, safety and welfare. In the main, schools prepared this assessment although were limited to not more than 200 words.
 - Site issues - site constraints, conditions or planning issues. (None exist in the four schools examined for this submission.)
- 3.2 Following PfS's receipt of applications, schools will be ranked in accordance with condition information, followed by a consideration of the shortcomings of the existing premises and cases of severe pressing basic need. Local Authorities and Dioceses will need to cooperate as required in the next stage of the application process and then in the preparation and development of an Outline Business Case.
- 3.3 Successful applicants will be notified in December 2012 and advised in which group of the programme they are likely to participate in.

4. CONSULTATIONS

- 4.1 Following analysis of condition data across Hartlepool schools, there were four schools identified as having exceeded the 30% value for money threshold set out by PfS. The four schools are:
- Manor College of Technology (35%)
 - Barnard Grove Primary (37%)
 - Holy Trinity Church of England Primary (33%)
 - West View Primary (31%)
- 4.2 Each of the schools has been taken through the application process as well as the known implications particularly with regard to the impact on the school budget share and delivery of building and other facilities management services. Each Headteacher and Governing Body have confirmed that they would like the Council to submit an expression of interest for this programme on their behalf. Each school however did express some reservations about going forward which in the main is due to the lack of firm details available around longer term financial commitments and each reserved the right to withdraw at a later stage if it was felt to be in their long term interests. All four schools are aware that if they do qualify for the next stage of the process, it is then that PfS will seek a firm and binding commitment in order to proceed further. This will also be the case for the Council and the Church of England Diocese. No such commitment has been required in order to make the expression of interest applications.
- 4.3 In addition to the confirmation to proceed received from the Governing Body of Holy Trinity Primary, the Church of England Diocese have stated that they would like the Council to progress with the school's application on their behalf.

- 4.4 An online application to PfS for all the above schools was therefore successfully completed on 13 October 2011, slightly ahead of the final deadline as shown in **Appendix 1**. All four schools have received written confirmation that their application has been made.

5. FINANCIAL IMPLICATIONS

- 5.1 To date, there have been no additional costs to the Council in preparing and submitting the four expressions of interest as the process only required an online application and the data used was readily available using existing information systems. Some additional officer time was required in consulting with each school but this has been kept to a minimum.
- 5.2 If we are successful in one or more of the applications, it is only at that stage will we understand better the level of resource commitment required by both the Council and schools to move forward although the Government has made a clear statement that it wishes to reduce the amount of time and resourcing required by all parties in order to deliver this programme.
- 5.3 Cabinet will receive further updates on these issues as decisions are announced later in the year.

6. RECOMMENDATIONS

- 6.1 Cabinet are recommended to note the progress made to date with applications for the Priority Schools Building Programme and to receive further updates on this matter as decisions by the Secretary of State for Education are announced.

7. CONTACT OFFICER

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**To: Local Authorities
Academy Trusts
Sixth Form Colleges**

19 July 2011

Dear Colleague

Priority School Building Programme

1. The Department for Education is commencing a privately financed programme to provide school facilities. The programme is intended to address those schools in the worst condition. Ministers may also take into account pressing cases of basic need (the requirement for additional school places) and other ministerial priorities.¹
2. This letter provides information and sets out the application process for local authorities and academies that wish to be considered for inclusion in the programme on the basis of the poor condition of their school premises. Where a school in poor condition also has basic need, then the process will invite supporting detail.
3. We anticipate that the programme will cover the equivalent of building or rebuilding approximately 100 secondary schools. The full scale of the programme is still to be finalised, but is likely to include a mix of primary schools, secondary schools, special schools, sixth form colleges and alternative provision and so could cover between 100-300 schools in total. It is expected that 20% of the total programme will be delivered each year, with the first schools scheduled to open in the academic year of 2014-15. Those schools included in the initial group for procurement are expected to commence procurement during the second quarter of 2012.
4. The part of the programme to which this letter relates is intended to address the needs of those schools in the very worst condition provided that they are also suitable for funding through a privately financed programme. A brief explanation of private finance is included at Appendix 1, and some of the factors that indicate suitability for public private procurement are given at Appendix 2.

¹ Please note that this letter is still subject to clearance by the DfE Star Chamber and therefore may be reissued to take into account any changes required by the Star Chamber. The Star Chamber is one of the main vehicles in the Department's drive to reduce bureaucracy impacting on LA children's services (including education) and schools; see <http://www.education.gov.uk/schools/toolsandinitiatives/cuttingburdens/starchamber/a0063720/what-is-the-star-chamber> for further details. In this letter the term "schools" refers to primary schools, secondary schools, special schools, sixth form colleges and alternative provision.

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5. Given competing priorities and that the funding available is finite, not all schools in poor condition that would be suitable for this procurement can be included in this part of the programme. Schools should therefore be aware that, even if eligible for this part of the programme as described below, the condition of their school will be compared to those of others.
6. Local authorities will be responsible for co-ordinating and submitting applications from all maintained schools (including VA, VC and foundation schools) in their area. Academies² may wish to be included in their local authority's submission, or may alternatively apply on their own behalf. Academy chains may apply on behalf of their schools.
7. Completed applications should be submitted electronically as per the instructions set out in this letter. The deadline for applications is **1200 on Friday 14 October 2011** though applications may be submitted from 0900 on 3rd October 2011. The key dates relating to this process are summarised at Appendix 3.

Eligibility

8. This part of the programme is open to all maintained schools (as described above) and academies subject to the requirements set out below.
9. To be considered for inclusion in the programme, academies, local authorities and the maintained schools on behalf of whom a local authority is applying must accept:
 - being part of a long-term (approximately 27 year) private finance arrangement where the building maintenance including soft services (e.g. cleaning, pest control, waste management, caretaking, security and grounds maintenance) will be provided by a third party. Please note that over the course of the programme the private finance model used will be developed and improved to deliver more flexibility, better risk transfer arrangements and improved value for money;
 - that the contract will be procured by a central body (or by a centrally determined alternative value for money route) and that, for procurement purposes, each school will be batched together with a number of other schools not necessarily in the same geographic area. The detailed arrangements for the procurement and contract management have not yet been determined. Whilst the procurement will be centralised it may be that local authorities or individual schools are the contracting parties, rather than the Department for Education.

² Including UTCs, Free Schools and Studio Schools

Similarly, whilst local authorities and/or schools will have a role in managing the contracts (at a minimum reporting shortfalls in performance and availability), and whilst there will be an element of central support, the detail of how much of the contract management role will be carried out centrally will be determined along with the detailed procurement process before schools are selected for inclusion;

- that the procurement will be based on standardised designs (subject to site constraints, planning requirements and a limited amount of local choice); and
- that schools will be required to make a contribution to the annual revenue payments of the private finance contract (to cover, for example, facilities management and maintenance costs, anticipated to be around £55 per m² in 2010 prices). Schools will continue to pay for utilities, anticipated to be around £15 per m² in 2010 prices, and rates and will carry responsibility for some elements of contract management.

In addition, VA schools may be required to make a further contribution to the cost of the scheme. We are currently considering the link between a public private partnership (which is funded through revenue) and the legal requirement that VA schools make a 10% contribution to capital schemes. As soon as this issue is resolved we will indicate the nature and scale of any contribution if one is required.

10. Applications in respect of schools which have received major investment in the last 15 years (e.g. a new or replacement school or refurbishment of more than 50% of the existing buildings) are unlikely to succeed.
11. Schools may not be eligible for inclusion in the programme where buildings Listed under Planning Regulations in any form comprise more than 30% of the school's gross internal floor area. This is because for VfM reasons the programme is only suitable for schools which have to be substantially rebuilt.
12. Only schools which show sufficient long term pupil demand will be considered for inclusion in the programme. Where pupil demand is expected to be sustained but at a lower level than the school's current capacity, applicants can propose a reduced capacity for the rebuilt school. Conversely, where basic need or pupil demand shows long term demand for greater capacity at a school, applicants can propose increased pupil numbers for the rebuilt school.
13. Schools selected to be taken forward will, once notified, be required to provide a signed statement by the head teacher, the Governing Body/Trustees and the local authority (for maintained schools) that they accept the conditions set out in this letter.

The Application Process

14. Applications can only be made online. All application forms will be hosted on a secure website, enabling applicants to log in, complete and submit the application. No hard copies or email versions of the application will be assessed; please do not submit hard copies of the electronic application as these will not be considered.
15. An application form must be submitted for each school. This, together with associated documentation is available at:

<https://sharepoint.partnershipsforschools.org.uk/PSBP/>

Completed applications should be submitted electronically as set out in this letter.

16. Applicants can view the application form without registering on the PFS website, but will need to register to be able to submit the application. Applicants can register from 25 July 2011. Once registered, any updates or clarifications will be sent to the registered email address and will also be published on the PFS website. Once registered, applicants should check this area to ensure they are aware of any updates or clarifications which have been published prior to the date of registration.
17. Applicants must register at before **1200 on 7 October 2011**. For key dates in the process please see Appendix 3.
18. Local authorities and academy chains are able to submit applications on behalf of as many eligible schools as they consider suitable for the programme. However, only one application form should be submitted per school.

Applications can be submitted from **0900 on 3rd October 2011** but the deadline for submission of applications is **1200 on Friday 14 October 2011**.

Information required for applications on grounds of condition

19. The application form requires the following information:
 - Demand: schools must have a sufficient long-term pupil demand requirement. In order to demonstrate such demand, local authorities and academies selected to be taken forward will be asked at a later stage to provide school level pupil place projections for same phase (i.e. primary or secondary) schools in the local area.

- Condition: schools must be able to demonstrate that they are in a poor condition, where condition is defined as the physical state of the building fabric. Applications will need to be supported by data extracted from a building condition survey obtained or updated within the two years prior to the date of the application. The survey must be carried out by a suitably competent professional. Local authorities may hold this information in relation to academies as well as maintained schools in their area. The applicant must bear the costs of preparing the application, updates to surveys or new surveys as required, irrespective of whether the school is selected for inclusion in the programme. The building condition survey does not need to be submitted with the application form but schools should ensure that such surveys are available on request.

The online application form will automatically calculate whether the cost of addressing the current condition of the school will exceed 30% of the notional rebuilding cost. This threshold is being used as an indication to help schools considering whether to apply, but a condition need above this level will not guarantee inclusion in the programme. If condition need is below 30% then it is unlikely that it would be value for money to include the school in the programme. To avoid abortive costs and false expectations, an academy or local authority might therefore decide not to proceed if the school condition need falls below this threshold.

The application requires estimates of Priority 1, 2 and 3 maintenance requirements:

- Priority 1 is urgent work;
- Priority 2 is work needed within two years; and
- Priority 3 is work needed within three to five years.

These categories are explained in the DfE condition assessment guidance for the data last requested from local authorities in 2005. A link to the relevant part of the guidance can be found at <https://sharepoint.partnershipsforschools.org.uk/PSBP/>.

- Shortcomings: please identify any shortcomings of the existing premises in providing for the needs of users, for example in the range of accommodation, comfort of the building environment or provision for health, safety and welfare.
- Site issues: please provide indications of any site constraints, conditions or planning issues which you are aware of to inform views on project delivery. It is not necessary for additional surveys to be carried out to provide this data for the application form - an overview of the relevant issues is sufficient.

- Equalities information: please provide any equalities information relevant to the application.
- Although the focus of this programme is to address schools in the worst condition, if a local authority feels that a separate new school is required in order to relieve basic need pressures, then the local authority should complete Section G of the online application form and PfS will contact the local authority to discuss the proposal in more detail.

Please note that PfS will also refer to centrally held data when assessing returns.

Review of Applications and Prioritisation

20. Following receipt of applications:

- schools will be ranked. The ranking will be determined in accordance with the condition information submitted, with those in the worst condition ranked highest;
- the shortcomings of the existing premises for each school in providing for the needs of its users will then be considered with its condition to assess whether the project would be likely to represent value for money as a privately financed procurement. If the assessment demonstrates that the project is unlikely to represent VfM for this type of procurement then that proposal will not be taken forward;
- Cases of severe and pressing basic need may be considered alongside the worst condition schools and other programme priorities.

21. Further work will then be carried out with those schools in the worst condition that are considered likely, from the information provided, to meet the requirement for value for money to be delivered through a privately financed procurement. These schools will be most suited to inclusion in the first group in the programme, to be launched in the first half of 2012. This work will involve detailed analysis to confirm whether they are appropriate for this procurement and a more general assessment of the project's deliverability and suitability for inclusion in the first group. This may include consideration of such issues as:

- site issues that may prevent the project being delivered in the timescales necessary, for instance the need to acquire further land or other title issues, planning constraints, etc.;
- school re-organisation issues or other statutory processes that cannot be resolved within the requisite timescales;

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- any relevant equalities considerations that should be taken into account in accordance with the Equalities Act 2010;
 - affordability constraints;
 - availability of information required to progress procurement preparation;
 - suitability for batching of schools into projects; and
 - any other relevant issues.
22. Academies, schools, local authorities and Diocesan and other faith bodies (as appropriate) will need to co-operate fully in providing information, site access and resources to allow this assessment to be carried out.
23. Schools considered unsuitable to be delivered in the first group under this process will remain eligible for inclusion in future groups unless they are considered unsuitable for privately financed procurement.
24. Schools selected for inclusion in the first group will be notified and will then be required, along with local authorities, Diocesan and other faith bodies (as appropriate) to assist in the preparation and development of the Outline Business Cases for the projects and thereafter during the procurement process. Schools and other relevant bodies will be notified further of these requirements once they have been identified but should expect to provide:
- access for surveys to be carried out;
 - relevant employee information;
 - title information; and
 - other assistance as required during the procurement process.
25. It is currently anticipated that local authorities and academies will be informed in December whether their application has been successful and whether they are expected to participate in the first group of the programme, or in later groups.

If you have any queries in respect of the application process please contact:

psbp@partnershipsfor schools.org.uk

Yours faithfully



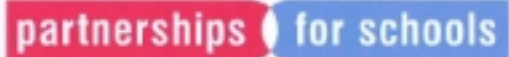
Paul Milner
Commercial Director

Appendix 1 – Brief explanation of Private Finance

Privately financed schemes use a procurement model through which a public sector procuring body engages a private sector contractor to design, build, finance and operate a facility (including providing facilities management, maintenance and lifecycle services) for the life of the contract, which is typically 27 years. As no money is paid by the procuring body until construction is complete, the contractor borrows the capital needed to construct the facilities from commercial lenders and then, once the school is operational, earns a monthly fee (referred to as a 'unitary charge'). The contractor uses this to repay the commercial debt and cover the cost of operating the facility. It may in addition earn a profit.

Key features of the model:

- **Construction at risk** – the procuring body pays nothing to the contractor until the build is completed to the standards set out in the contract, which ensures a high degree of certainty as to the time of completion;
- **Maintenance (often referred to as 'hard FM') services** – are provided by the contractor throughout the life of the agreement – the contractor is being paid to ensure that the school is available for use;
- **Cleaning, security and grounds maintenance (often referred to as 'soft FM') services** – are typically provided by the contractor and the costs for these services are tested against costs in the market at intervals throughout the term of the agreement. The soft services may include other services such as catering, pest control and waste management;
- **School contribution** – schools participating in a privately financed contract are usually required to contribute revenue funding during the 25 year term operational period of the contract for the provision of facilities management services, a proportion of which will be index-linked. Schools would usually also continue to pay for utilities and rates;
- **Performance regime** – the contractor's performance (and ability to earn the full Unitary Charge every month) is governed by a performance regime which measures availability of areas within the school and performance against set standards. Performance issues (and spaces not being available) can lead to deductions being made from the unitary charge. This process is designed to incentivise the contractor to rectify problems early and ensure a good level of service;
- **Long-term arrangement** – contracts typically last 27 years and, with little opportunity for early exit, schools need to be aware that this represents a long-term commitment;



- **Handback** – the contractor is required to hand the school back in good condition to the public sector procurer at the end of the contract term, thus ensuring that the school is well maintained and designed to last;
- **Value for money** – in order to ensure that a privately financed contract represents good value for money the contract needs to include a sufficiently high value of construction work and it will typically be the case, therefore, that schools will be batched together with other schools in order to create a viable contract.

Appendix 2 – Suitability for Public Private Procurement

Some of the factors that indicate a school's suitability for using public private procurement:

- **Land ownership** – certainty that the local authority or school holds or will be able to hold title to all of the land required by the start of the procurement, and that the school (where applicable, such as for academies) holds a long term lease;
- **New build proportion** – private finance is generally better-suited to new build than refurbishment. As a guide, private finance is unlikely to be the best value procurement route if the refurbishment element is more than 30% of the gross internal floor area;
- **Listed status** – any parts of the school which have listed building status will have to be refurbished rather than rebuilt. Hence if more than 30% of a school's gross internal floor area has listed building status, private finance is unlikely to be the best value procurement route as the refurbishment proportion will be too great; and
- **Value for money** – the procurement will be tested for value for money at various points during the process – if these tests are failed at any point, the school will no longer be part of this procurement.



Appendix 3 - Summary of Key Dates

Information available	19 th July 2011
Registration opens	25 th July 2011
Window opens for submission of applications	0900 on 3 rd October 2011
Deadline for registration	1200 on 7 th October 2011
Deadline for submission of applications	1200 on 14 th October 2011
Target date for informing local authorities and academies of the outcome of their application	December 2011