

# **SCRUTINY CO-ORDINATING COMMITTEE AGENDA**



**Friday 13 April 2012**

**at 2.00 p.m.**

**in the Council Chamber,  
Civic Centre, Hartlepool.**

**MEMBERS: SCRUTINY CO-ORDINATING COMMITTEE:**

Councillors C Akers-Belcher, S Akers-Belcher, Cook, Fenwick, Griffin, James, Loynes, A Marshall, Preece, Richardson, Rogan, Shaw, Shields, Thomas, Wells and Wilcox.

Resident Representatives: Maureen Braithwaite, Evelyn Leck and John Maxwell.

**ALSO INVITED TO ATTEND - MEMBERS OF THE CHILDREN'S SERVICES  
SCRUTINY FORUM:**

Councillors C Akers-Belcher, Fleet, Griffin, Ingham, Lauderdale, Maness, P Thompson, Wells and Wilcox.

Co-opted Members: Sacha Paul Bedding and Michael Lee.

Resident Representatives: Joan Steel, and 2 vacancies.

Young People's Representatives: Hanna Bew, Ashleigh Bostock, Bianca Gascoigne and Kim Henry.

School Council Representatives: Two vacancies

## **1. APOLOGIES FOR ABSENCE**

## **2. TO RECEIVE ANY DECLARATIONS OF INTEREST BY MEMBERS**

## **3. MINUTES**

- 3.1 To confirm the minutes of the meeting held on 9 March 2012 (10.00 a.m.)
- 3.2 To confirm the minutes of the meeting held on 9 March 2012 (1.00 p.m.)

**4. RESPONSES FROM THE COUNCIL, THE EXECUTIVE OR COMMITTEES OF THE COUNCIL TO REPORTS OF THE SCRUTINY COORDINATING COMMITTEE**

No Items

**5. CONSIDERATION OF REQUEST FOR SCRUTINY REVIEWS FROM COUNCIL, EXECUTIVE MEMBERS AND NON EXECUTIVE MEMBERS**

No Items

**6. FORWARD PLAN**

No Items

**7. CONSIDERATION OF PROGRESS REPORTS / BUDGET AND POLICY FRAMEWORK DOCUMENTS**

7.1 Youth Justice Plan – *Director of Child and Adult Services* (To Follow)

**8. CONSIDERATION OF FINANCIAL MONITORING/CORPORATE REPORTS**

8.1 Quarter 3 – Revenue Financial Management Report 2011/12 – *Chief Finance Officer*

8.2 Quarter 3 – Capital Programme Monitoring Report 2011/12 – *Chief Finance Officer*

**9. ITEMS FOR DISCUSSION**

9.1 Medium Term Financial Strategy – Collaboration – *Assistant Chief Executive*

9.2 Final Report into Young People's Access to Transport - *Young People's Representatives on the Children's Services Scrutiny Forum*

9.3 Scrutiny Work Programme Setting 2012/13 – *Scrutiny Manager*

9.4 Final Report into Early Intervention and Reablement Services - *Chair of Adult and Community Services Scrutiny Forum*

9.5 Final Report into Cancer Awareness and Early Diagnosis - *Chair of Health Scrutiny Forum*

9.6 Final Report into Private Sector Housing Schemes - *Chair of Neighbourhood Services Scrutiny Forum*

9.7 The Borough Council Museum and Art Gallery Collection Working Group - *Chair of the Working Group*

9.8 Draft Overview and Scrutiny Annual Report for 2011/12 – *Scrutiny Manager*

9.9 New Legislative Framework Event in York – *Verbal Feedback from Members*

9.10 Capital Receipts Programme – *Director of Regeneration and Neighbourhoods and Chief Finance Officer*

9.11 Ward Member Budgets – *Assistant Director (Neighbourhood Services)*

**10. CALL-IN REQUESTS**

No Items

**11. ANY OTHER ITEMS WHICH THE CHAIRMAN CONSIDERS ARE URGENT**

# SCRUTINY CO-ORDINATING COMMITTEE

## MINUTES

9 March 2012

The meeting commenced at 10.00 a.m. in the Civic Centre, Hartlepool

### **Present:**

Councillor: Marjorie James (In the Chair)

Councillors: Christopher Akers-Belcher, Rob Cook, Sheila Griffin,  
Brenda Loynes, Ann Marshall, Arthur Preece, Carl Richardson,  
Linda Shields, and Ray Wells.

Also Present: The Mayor, Stuart Drummond

Officers: Nicola Bailey, Acting Chief Executive  
Andrew Atkin, Assistant Chief Executive  
Peter Devlin, Chief Solicitor  
Denise Ogden, Assistant Director, Neighbourhood Services  
Joan Stevens, Scrutiny Manager  
David Cosgrove, Democratic Services Team

### **242. Apologies for Absence**

Councillors Stephen Akers-Belcher, Mick Fenwick, Jane Shaw, Stephen Thomas, and Angie Wilcox.

### **243 Declarations of interest by Members**

None.

### **244. Local Government (Access to Information) (Variation Order) 2006**

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

Minute 254 – Verbal Feedback from Cabinet - Call-In of Decision - Strategy for Bridging the Budget Deficit 2012/13 - ICT, Revenues and Benefit Services – This item contained exempt information under Schedule 12A

Local Government Act 1972, namely information relating to the financial or business affairs of any particular person (including the authority holding that information) (para 3).

Minute 255 – Review of Community Involvement and Engagement – This item contained exempt information under Schedule 12A Local Government Act 1972, namely information in respect of which a claim to legal professional privilege could be maintained in legal proceedings (Para.5).

**245. Verbal Feedback from Cabinet - Call-In of Decision - Strategy for Bridging the Budget Deficit 2012/13 - ICT, Revenues and Benefit Services** *(The Mayor, Stuart Drummond)*

The Mayor, Stuart Drummond gave the committee feedback on Cabinet's consideration of the Scrutiny "Call-In of Decision - Strategy for Bridging the Budget Deficit 2012/13 - ICT, Revenues and Benefit Services". The Mayor considered that following Council 23 February 2012 he believed that the matter had been resolved.

**Recommended**

That the Mayor's comments be noted.

**246. Discussion between Cabinet and the Scrutiny Coordinating Committee - Implementation of the Review of Community Involvement and Engagement (Including LSP Review)** *(Scrutiny Manager)*

The Committee and the Mayor shared an open discussion on the Implementation of the Review of Community Involvement and Engagement, which included the review of the Local Strategic Partnership (LSP) and the replacement body for this. Details of the issues discussed are set out in the exempt section of the minutes.

**Recommended**

That the comments and discussions be noted, and where appropriate, be actioned.

**247. Any Other Exempt Items which the Chairman Considers are Urgent**

No items.

The meeting concluded at 11.55 a.m.

CHAIR

# **SCRUTINY CO-ORDINATING COMMITTEE**

## **MINUTES**

9 March 2012

The meeting commenced at 1.00 pm in the Civic Centre, Hartlepool

### **Present:**

Councillor James (In the Chair)

Councillors C Akers-Belcher, Cook, Griffin, Loynes, A Marshall, Preece, Shields, Thomas, Wells and Wilcox

In accordance with Council Procedure Rule 4.2 Councillor Maness was in attendance as substitute for Councillor Richardson

### **Resident Representatives:**

Evelyn Leck and John Maxwell

**Officers:** Nicola Bailey, Acting Chief Executive  
Joanne Machers, Chief Customer and Workforce Services Officer  
Denise Ogden, Assistant Director, Neighbourhood Services  
Jill Harrison, Assistant Director, Adult Social Care  
Catherine Frank, Local Strategic Partnership Manager  
David Hunt, Strategy and Performance Officer  
Joan Stevens, Scrutiny Manager  
Denise Wimpenny, Principal Democratic Services Officer

## **248. Apologies for Absence**

Apologies for absence were submitted on behalf of Councillors Stephen Akers-Belcher, Fenwick, Richardson and Shaw.

## **249. Declarations of interest by Members**

None.

**250. Confirmation of the Minutes of the Meeting of 17 February 2012**

Confirmed.

**251. Matters Arising from the Minutes**

In relation to Minute 224 Forward Plan Reference RN58/11 relating to allotments, a Resident Representative expressed concern that information was not being communicated to allotment holders who were not part of an Allotment Association and their views were not being considered. Members were assured that the concerns would be reported to the relevant officers. The Chair added that it was a matter for association and non-association members to ensure effective communications mechanism were in place.

With regard to Minute 224 Forward Plan Reference RN96/11 – Hartlepool Voluntary and Community Sector Strategy and Compact and in response to a request for clarification as to when a response would be received from the Portfolio Holder, the Scrutiny Manager indicated that a response had been received from the Portfolio Holder to the Chair. However, given the recent change in Portfolio responsibilities, the matter had been referred to the Mayor who had indicated that a written response would be provided as soon as possible.

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**252. Responses from the Council, the Executive or Committees of the Council to Reports of the Scrutiny Co-ordinating Committee**

None.

**253. Consideration of request for scrutiny reviews from Council, Executive Members and Non Executive Members**

None.

**254. Forward Plan**

None.

## **255. Corporate Plan and Departmental Plans 2012/13** *(Assistant Chief Executive, Director of Child and Adult Services and Director of Regeneration and Neighbourhoods)*

The Local Strategic Partnership Manager presented the proposed Corporate Plan and three Departmental Plans for 2012/13 for the Committee's consideration and comment, attached as appendices to the report.

During consideration of the plans, at the meeting of Scrutiny Co-ordinating Committee, on 17 February 2012, a number of issues were raised, details of which were set out at Appendix A. Members were referred to the responses to the queries raised as detailed in Appendix A to the report.

The report included the timetable for approving the plans, details of which were provided. It was highlighted that any issues raised at today's meeting would be reported verbally to the Cabinet meeting on 19 March.

During the discussion that followed, Members raised a number of issues and questions which included:-

- (i) Child and Adult Services Departmental Plan NI80 – Indicator – Percentage of young people achieving a Level 3 qualification by the age of 19. The Chair reiterated concerns raised at the last meeting that the target was too low and expressed disappointment that the target was not aspirational given the concerns outlined and the Council's commitment to tackle child and family poverty. The Acting Chief Executive referred to the response from the department, attached at Appendix A and whilst the concerns were acknowledged it was highlighted that the targets had been set in light of the context of the town and discussions with schools in terms of what was a realistic target. In the lengthy discussion that followed Members commented on the importance of NI 79 relating to the percentage of young people achieving a level 2 qualification by the age of 19 noting the links to achieving a level 3 qualification and were keen to examine the various qualification equivalents and the new qualification arrangements introduced by the Government in this regard and revisit the targets thereafter. Following further debate in relation to the most appropriate route for the provision of a briefing to all Members in relation to this issue, the Chair suggested that that the provision of a briefing as part of a Council Working Group should be explored. In view of this, it was agreed that the Acting Chief Executive would work with the Chair of the Scrutiny Co-ordinating Committee to identify an appropriate route for the delivery of the requested briefing.
- (ii) Further discussion ensued in relation to the impact of government changes to the benefits system and current economic climate in relation to the proportion of children and families in poverty, the

lack of employment opportunities generally as well as the links between qualifications and employability and the benefits of apprenticeship schemes.

- (iii) Corporate Plan – Jobs and the Economy – A Member requested that the plans should include reference to the recommendations and action plan arising from a recent scrutiny investigation relating to the Provision of Face to Face Advice in Hartlepool in terms of referral channels for tackling financial exclusion and progress made on the promotion of universal advice and guidance service within the local authority in terms of benefit support. With regard to benefits take up, it was suggested that the plan should include a target in relation to the up-take of benefits by new claimants. The Chair clarified that whilst the recommendations arising from the scrutiny investigation had been agreed by Cabinet, the action plan in relation to how the outcomes could be achieved had not been accepted. It was confirmed that work was ongoing in relation to the action plan and the Chair requested that the Scrutiny Manager, and Acting Chief Executive, explore the position in terms of the Action Plan, with a view to its implementation as soon as is practicable. Following further debate in relation to the various methods of promoting benefit-take up (including free school meals), the Committee reiterated the need to include information on the benefits available in Council Tax reminder letters as well as Hartbeat as suggested as part of the recent scrutiny investigation.
- (iv) With regard to appendices B and D, the need to remove reference to Caroline O'Neil in the plan was highlighted.
- (v) Corporate Plan – Appendix B - A Member referred to the earlier request regarding the need to identify disabled friendly accommodation to which officers advised that a response from the Regeneration and Neighbourhoods Department was included within Appendix A to the report.
- (vi) Outcome 28, Appendix B - With regard to the action to develop a framework for a new Council Tax Rebate Scheme, Members drew attention to a recommendation made by the Scrutiny Co-ordinating Committee, on the 14 October 2012, in relation the establishment of a Working Group of Scrutiny Co-ordinating Committee to examine the different impacts of localised support for council tax benefit. As an amendment to this recommendation, it was suggested that the Council Working Group would be an appropriate route to consider all options relating to a new rebate scheme, including the exploration of the withdrawal of Council Tax benefit for highest banded properties, pending legislative changes from the Government as well as consider the impact of changes to pension arrangements. The need to seek input from advice workers during consideration of this issue was suggested and that



the meeting should be held after 3pm or on a Saturday to enable appropriate attendance. The Acting Chief Executive indicated that the localisation of Council Tax benefit was a Council decision. Upon receipt of further guidance in this regard, a report would be submitted to a meeting of the Council Working Group in relation to the process.

### **Recommended**

- (i) That Members' comments on the draft Corporate Plan and Departmental Plans be noted and incorporated in the plans as appropriate.
- (ii) That the Acting Chief Executive work with the Chair of the Scrutiny Co-ordinating Committee to identify an appropriate route for the delivery of a briefing to all Members in relation to:
  - The impact of new education policy in relation to qualification arrangements;
  - The impact of this policy on targets set by the Council in relation to the attainment of level 2 and 3 qualifications.
- (iii) That the Scrutiny Manager, and Acting Chief Executive, explore the position in terms of the 'Provision of Face to Face Advice in Hartlepool' Action Plan, with a view to its implementation as soon as practicable.
- (iv) That the inclusion of information on benefit availability be included in Council Tax reminder letters, and Hartbeat, be explored as a means of promoting benefit-take up (including free school meals).

## **256. Final Report – Employment and Training Opportunities for Young People Aged 19-25** (*Regeneration and Planning Services Scrutiny Forum*)

The Vice-Chair of Scrutiny Co-ordinating Committee moved the final report setting out the findings of the Regeneration and Planning Services Scrutiny Forum following its investigation into "Employment and Training Opportunities for Young People Aged 19-25"

The Vice-Chair expressed his thanks on behalf of the Forum to Elaine Hind, Scrutiny Support Officer, for her invaluable input and support in relation to this investigation and suggested that the process adopted for this investigation in terms of how services were examined be considered for future scrutiny investigations of this type. The Acting Chief Executive supported the Vice-Chair's comments referring to the benefits of utilising this type of methodology in future.

**Recommended**

That the recommendations of the Regeneration and Planning Services Scrutiny Forum following its investigation into “Employment and Training Opportunities for Young People Aged 19-25” as set out below, be approved and forwarded to the Executive:-

- (a) That Hartlepool Borough Council liaise with prime providers of the Work Programme to:-
  - (i) ensure prime provider offers are developed which meet local employer needs;
  - (ii) assist Avanta in engaging with the Department of Work and Pensions (DWP) to share data regarding the success of the Work Programme within Hartlepool; and
  - (iii) develop a process to ensure the dissemination of information in relation to the success of the DWP Work Programme in Hartlepool to the Council and the Regeneration and Planning Services Scrutiny Forum, once available.
- (b) That Hartlepool Borough Council facilitate meetings between prime providers of the DWP Work Programmes and third sector providers to:-
  - (i) Promote the specialist support services local organisations are able to provide as sub-contractors; and
  - (ii) Explore options to provide specialist services ‘on demand’.
- (c) That the development of a process to hold careers events aimed at schools and sixth form college leavers to promote the types of careers available with local employers and also the routes to access potential opportunities, is explored with local service providers, employers and Connexions;
- (d) That ways of re-invigorating the partnership between Connexions and Job Centre Plus in Hartlepool be explored to ensure consent to share forms are completed and data shared, where possible and in accordance with the data protection act;
- (e) That during the development of skills based training programmes Adult Education and Economic Development liaise to ensure that maximum benefit is achieved for the economic wellbeing of the town;
- (f) That the Economic Development Team works in partnership with prime providers, local suppliers of employment and training services and the Economic Regeneration Forum to promote the

Youth Contract, the National Apprenticeship Service and the benefits of employing apprentices to employers;

(g) That the use of the Social Return on Investment model is explored:-

- (i) as part of the budget process to provide Members with qualitative data upon which to make decisions;
- (ii) to assist in shaping the future of service delivery by evaluating current service provision and gaining a better understanding of the value services users place on the outcomes delivered.

## **257. Final Report – The Provision of Support and Services to Looked After Children/Young People** *(Children's Services Scrutiny Forum)*

The Chair of the Children's Services Scrutiny Forum moved the final report setting out the findings of the Children's Services Scrutiny Forum following its investigation into "The Provision of Support and Services to Looked After Children/Young People."

Members of the Forum commented upon and spoke in support of the value of this investigation and importance of implementation of the recommendations arising from the investigation.

### **Recommended**

That the recommendations of the Children's Services Scrutiny Forum following its investigation into "The Provision of Support and Services to Looked After Children/Young People" as set out below, be approved and forwarded to the Executive:-

#### Residential Care

- (a) That the Council explores the viability of buying or building, and running, one or more 3 to 4 bedroom children's home(s) in Hartlepool, whether that be through the utilisation of existing buildings, buildings on the asset transfer list or new builds;
- (b) That the Council extends joint working and liaises with a range of housing providers in order to provide a breadth of accommodation for young people including supported accommodation, floating support, single person accommodation and accommodation whilst home from University;

### Foster Care and Adoption

- (c) That the Council ensures that all looked after young people are equipped with the skills required for adulthood and independent living and extends care provision beyond the age of 18 for anyone not wishing to live independently at 18 and this may include supported accommodation, which should be available to a young person up until the young person feels ready to live independently;
- (d) That the Council, as part of the redeployment process, highlights to staff the option of becoming foster carers and explores the option of offering a 'career foster care' scheme to the staff at risk of redundancy, with the necessary skills;
- (e) That the Council aims to recruit more adopters and foster carers for children and young people with complex needs, giving thorough support and contact throughout the placement and post adoption;
- (f) That the Council keeps sibling groups together, where ever possible, and additional support is offered to foster carers to accommodate sibling groups;
- (g) That the Council improves links and communication with foster carers by:-
  - (i) providing additional support where required;
  - (ii) keeping foster carers up to date with developments;
  - (iii) publicising the 24 hour support service; and
  - (iv) using improved communication methods
- (h) That the Council considers, during the recruitment process, whether foster carers are better suited to long or short term placements, taking into account whether foster carers are willing to take their fostered child or young person with them on their family holiday;
- (i) That the Council ensures that a clear set of criteria is in place so that placements are appropriate to meet the needs of the child or young person including involving the child or young person in the planning processes for all placements;

### Partnerships

- (j) That the Council and partner agencies outline in their service plans what they can and will do for looked after children and

young people and continues to develop a multi agency approach;

- (k) That the Council develops and implements a scheme similar to the 'bring a gift' initiative, whereby partner organisations across all Council activities are asked to donate a gift in kind (for example, cinema tickets) for a looked after child or young person;
- (l) That the Council explores the development of innovative ways of providing early intervention services to hard to reach children and young people to avoid children and young people becoming looked after; and
- (m) That the Council ensures that any meetings in relation to the personal circumstances of a looked after child or young person are held out of school hours to maintain confidentiality and ensures that all schools provide a designated person to act as a mentor to the looked after child and young person.

## **258. Quarter 3 – Council Overview of Performance and Risk 2011/12** *(Corporate Management Team)*

The Strategy and Performance Officer presented the report which provided details of progress made against the Council's suite of 2011/12 departmental plans together with an overall picture of performance and risk for the period ending 31 December 2011, which was submitted to Cabinet on 20 February 2012.

### **Recommended**

That the contents of the report be noted.

## **259. Use of Agency Workers Within the Council** *(Chief Customer and Workforce Services Officer)*

As part of the Forum's 2008/09 work programme an investigation had been held into the use of agency workers in the Council. It was recommended that twelve months after the implementation of the new HR/payroll system and the introduction of centralised control measures for the recruitment of agency workers/specialists across the authority that a monitoring report would be provided to the Committee.

The report included background information relating to circumstances in which agency workers were required and details of the various sources from which additional staffing resources were obtained.

Members were referred to an action plan, as set out in the report, which

showed the original recommendation from Scrutiny Co-ordinating Committee, the response from Cabinet and provided an update on progress against the proposed action. The impact of the actions were detailed in Appendix A which included an analysis of the use of agency workers and consultants in the Council in the last three financial years. Details of spend in the current financial year were set out in appendices to the report.

The Committee went on to raise a number of comments/views/queries which included the following:-

- (i) The Chair acknowledged the reduction in the use of agency workers and consultants and emphasised the need for this to continue.
- (ii) In response to a query as to whether it was feasible for funding to be utilised to employ permanent staff to reduce the need for agency workers/consultants, Members were advised that whilst the Council would prefer to employ staff direct, there were a number of circumstances in which agency workers/consultants were required, examples of which were provided. Since the scrutiny review there had been a significant reduction in the use of agency workers and fixed terms contracts for seasonal work had been introduced, details of which were outlined. A register of casual workers had been established for a range of services and the use of in-house resources had been maximised to reduce the requirement to commission consultants although there were occasions where this type of support was necessary.
- (iii) The Chief Customer and Workforce Services Officer outlined the monitoring of vacancy process in response to concerns that some Members no longer received notification of vacancies. A Member of the Vacancy Monitoring Panel raised concerns in relation to a particular case in which it was considered the consultant's fee was excessive and highlighted the need to closely monitor fees to ensure more effective financial control and value for money. The Acting Chief Executive advised that case fees were agreed as opposed to hourly rates and noted Members' concerns. Following a lengthy discussion it was suggested that a report in relation to the monitoring of vacancy process and in response to the issues raised should be submitted to the General Purposes Committee for consideration following a review of process requirements.
- (iv) During discussions regarding the level of budget miscodings in relation to agency and consultancy fees, the Committee requested that a breakdown be provided.
- (v) In relation to the detailed analysis of spend, attached at Appendix C, relating to consultancy services to support management of integrated transport unit and fees in respect of the National Driver Offender Rehabilitation Scheme, Members requested a breakdown of the various fees and charges associated with the management of the

integrated transport unit as well as details of income received in relation to the National Driver Offender Rehabilitation Scheme to which the Assistant Director agreed to provide under separate cover following the meeting.

### **Recommended**

- (i) That the information given and comments of Members, be noted and actioned as necessary.
- (ii) That a report in relation to the monitoring of vacancies process and, in response to the issues raised, as detailed above, be submitted to a future meeting of the General Purposes Committee following a review of process requirements.
- (iii) That a breakdown of budget miscodings in relation to agency and consultancy fees be provided.
- (iv) That a breakdown of fees and charges including income received be provided with regard to the management of the integrated transport unit.

## **260. Voluntary and Community Sector Strategy** *(Children's Services Scrutiny Forum)*

The Assistant Director presented the report along with a detailed presentation of the draft document and consultation programme on the Voluntary and Community Sector Strategy which was approved by Cabinet on 20 February 2012.

It was reported that there would be a 12 week consultation period on the strategy and a variety of consultation methods would be used over this period to ensure there was optimum opportunity for inclusion and participation.

The fundamental aim of the consultation process was to ensure that the content of the strategy reflected the needs of all partners and the undertakings set out a clear way of working with the voluntary and community sector and public sector partners would sign up and commit to. Feedback from the consultation process would inform the contents of the action plan with a view to firmly embedding the strategy into everyday practice.

Feedback from the consultation process to date was provided together with details of the timescales for implementation of the strategy.

In the discussion that followed a number of concerns were expressed regarding the level of input and representation from the voluntary and community sector generally in the development of the draft strategy and in particular the lack of input from the voluntary and community sector in the

south of the town. Disappointment was also expressed that the criteria excluded Councillors who were employed in the voluntary and community sector from membership of the Group and commented on the benefits of experience from voluntary sector employees. The Assistant Director outlined the background to the development of the Group and it was noted that the Group had been established on the advice of the previous Portfolio Holder. Following a lengthy debate, the Assistant Director agreed to refer the Committee's concerns to the new Portfolio Holder together with the suggestion that the membership of the Group be reviewed to include a fairer representation of the south of the town.

### **Recommended**

- (i) That the contents of the draft Voluntary and Community Sector strategy and consultation programme be noted.
- (ii) That the concerns of the Committee, as set out above, be noted and reported to the current Portfolio Holder.

## **261. Crime and Disorder Committee/Police and Crime Commissioners – Update Presentation** *(Assistant Director, Neighbourhood Services)*

The Assistant Director, who was in attendance at the meeting, provided a detailed and comprehensive presentation which updated Members on the Safer Hartlepool Partnership strategic assessment for the period October 2010 to September 2011. The presentation provided an understanding of the patterns and trends relating to crime, disorder and substance misuse issues affecting the Borough and focussed on the following:-

- Crime Statistics
- Anti-social behaviour continued to follow a decreasing trend
- Deliberate fire rates remained static
- Number of repeat high risk domestic violence and abuse cases subject to multi-agency risk assessment conferences had reduced
- Successful prosecutions in relation to domestic violence and abuse incidents had increased
- The number of people accessing drug and alcohol treatment had increased
- Re-offending rates in Hartlepool remained above the national average.
- Hartlepool had the highest percentage of people who agreed that the police and the Council were dealing with crime and anti-social behaviour issues that matter in their area.
- Safer Hartlepool Priorities for 2012/2013
  - reduce crime and repeat victimisation
  - reduce the harm caused by drug and alcohol misuse
  - create confident, cohesive and safe communities



- reduce offending and re-offending
- Team around the Household
  - concept developed to break the cycle for tackling crime and disorder in Hartlepool and compliments Government Strategy
  - long term goal to prevent unruly behaviour occurring across future household generations by providing a co-ordinated approach to tackling this issue of problematic households
  - Streamlining resources
  - Having a shared strategy and co-ordinated aims
  - Breaking down bureaucratic barriers
  - Team around the Household Timeline
- Police Reform and Social Responsibility Act key powers
- Police and Crime Commissioner main responsibilities
- Police and Crime Panel
- Financial Implications

Following the conclusion of the presentation, the Committee raised a number of comments/views/queries which included the following:-

- (i) Members commented on the success of neighbourhood policing in Hartlepool, the potential links between the current unemployment figures in the town and the increase in the number of people accessing drug and alcohol treatment and expressed concerns that this trend was likely to continue.
- (ii) With regard to crime performance statistics, as detailed in the presentation, Members requested that details of performance statistics expressed in percentage terms be provided to the Committee under separate cover following the meeting.
- (iii) Members discussed the potential links between reoffending and joblessness, crime and poverty, the potential benefits of the team around the household model as well as the importance of prevention measures.
- (iv) It was highlighted that the current scrutiny investigation in relation to private sector housing identified the links between reoffending and the problems facing ex-offenders when leaving custody and recommended stronger links between the housing team and ex-offenders.
- (v) In response to a query as to who was eligible to stand for the position of Police and Crime Commissioner, the Assistant Director advised that details of the criteria would be provided following the meeting.
- (vi) Following debate regarding the implications of the Police Reform and Social Responsibility Act, the Committee emphasised the need

for Hartlepool to be adequately represented on the Police and Crime Panel and were of the firm view that all local authorities should be allocated the same number of positions. Members suggested that Hartlepool should be allocated at least three positions in line with the allocation to neighbouring authorities. It was noted that the Mayor was of the same view and had highlighted this issue to the other Tees Valley authorities.

- (vii) Members considered the most appropriate Scrutiny Forum to oversee the development of the Police and Crime Panel and were of the opinion that this role should be undertaken by Scrutiny Co-ordinating Committee during the development stage and consideration would be given to transferring the role to the Regeneration and Planning Services Scrutiny Forum as appropriate.

#### **Recommended**

- (i) That the contents of the presentation and comments of Members be noted.
- (ii) Performance statistics in relation to crime figures be provided under separate cover following the meeting.
- (iii) That the Committee supports the allocation of a fair and equal number of places on the Police and Crime Panel (the number of places not to be allocated on a population basis) and that a letter be sent to the Mayor supporting his activities in ensuring that this is achieved.

### **262. Six Monthly Monitoring of Agreed Scrutiny Co-ordinating Committee's Recommendations** *(Scrutiny Manager)*

The Scrutiny Manager submitted the six monthly progress report on the delivery of the agreed scrutiny recommendations of this Committee and progress made by all Scrutiny investigations undertaken since 2005. Attached as Appendix A to the report was a summary of progress made by investigation and Appendix B provided a breakdown of progress made by the five standing Forums.

To assist with the Scrutiny Monitoring process, the Chair referred to earlier discussions and emphasised the need to implement the action plan arising from the recent scrutiny investigation into Child Poverty and Financial Inclusion.

#### **Recommended**

That progress against the Scrutiny Co-ordinating Committee's agreed recommendations, since the 2005/06 Municipal Year, be noted

**263. Call-in Requests**

None

**264. Any Other Items which the Chair Considers are Urgent**

The Chair ruled that the following items of business (Minutes 259 and 260) should be considered by the Committee as a matter of urgency in accordance with the provisions of Section 100(B) (4)(b) of the Local Government Act 1972 in order that the matter could be dealt with without delay.

**265. Any Other Business – Request for Funding to Support the Scrutiny Co-ordinating Committee**  
*(Scrutiny Manager)*

The Scrutiny Manager reported on a request for funding from the Dedicated Overview and Scrutiny Budget.

The Scrutiny Co-ordinating Committee had requested approval for £42.00 to fund lunch for all Members of the Scrutiny Co-ordinating Committee given the short timescales and proximity of the two Scrutiny Co-ordinating Committee meetings held that day.

**Recommended**

That the request for funding totalling £42.00 from the Dedicated Overview and Scrutiny Budget, be approved.

**266. Any Other Business – Request for Funding to Support the Children's Services Scrutiny Forum's Current Scrutiny Investigation** *(Scrutiny Manager)*

The Scrutiny Manager reported on a request for funding from the Dedicated Overview and Scrutiny Budget.

The Children's Services Scrutiny Forum had requested approval to provide a hot sandwich for 8 -10 looked after children/young people at a cost of £1.95 per person who would be attending the Children's Services Scrutiny Forum on 14 March 2012 immediately after school, details of which were attached at Appendix 1 to the report.

**Recommended**

That the request for funding to provide a hot sandwich for 8-10 looked after children/young people at a cost of £1.95 per person from the Dedicated Overview and Scrutiny Budget, be approved.

## **267. Date and Time of Next Meeting**

It was reported that the next meeting would be held on Friday 13 April 2012 commencing at 2.00 pm.

The meeting concluded at 4.35 pm.

CHAIR

## SCRUTINY CO-ORDINATING COMMITTEE

13 April 2012



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

**Subject:** YOUTH JUSTICE STRATEGIC PLAN 2012-2013

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### 1. PURPOSE OF REPORT

- 1.1 The purpose of this report is to set out proposals for the Youth Justice priorities and actions for 2012-2013 and provide the Scrutiny Coordinating Committee with an opportunity to comment and make recommendations to support the further development of the local Youth Justice Plan (**Appendix 1**).

### 2. BACKGROUND

- 2.1 The national Youth Justice Performance Improvement Framework is the Youth Justice Board's primary tool for monitoring and securing performance improvement across Youth Offending Services in England and Wales. The Framework includes a range of elements that work together to improve practice and performance. The framework builds upon the statutory responsibilities for Youth Offending Services established under the Crime and Disorder Act 1998 through a requirement for all Youth Offending Services to annually prepare, as part of the local business planning cycle, a local Youth Justice Plan for submission to the Youth Justice Board.
- 2.2 Following the decision of the coalition government in 2011 to discontinue the plan to abolish the Youth Justice Board, local youth offending services continue to be monitored and guided by the Youth Justice Board and continue to be required to submit the annual Youth Justice Strategic Plan for consideration. To this end, planning has commenced to review the current plan (2011-2012) and prepare the local Youth Justice Plan in line with existing guidance for 2012-2013.

### 3. PLANNING FRAMEWORK

- 3.1 Whilst the local Youth Offending Service partnership can develop its own structure and content of the Youth Justice Plan, national guidance suggests the Plan should address four key areas and it is these areas that will be refreshed to reflect the position for the service going forward.
- Resourcing and value for money - The sufficient deployment of resources to deliver effective youth justice services to prevent offending and re-offending.
  - Structure and Governance - The Plan will set out the structures and governance necessary to ensure the effective delivery of local youth justice services. The leadership composition and role of the multi agency Youth Offending Service Management Board are critical to this.
  - Partnership Arrangements - To demonstrate that effective partnership arrangements are in place between the Youth Offending Service, statutory partners and other local partners that have a stake in delivering youth justice services and that these arrangements generate effective outcomes for children and young people who offend or are at risk of offending.
  - Risks to Future Delivery - To ensure the Youth Offending Service has the capacity and capability to deliver effective youth justice services, identifying risks to future delivery and the Youth Offending Service's partnership plans to address these risks.
- 3.2 The 2011- 2012 Youth Justice Plan was comprehensive and it is envisaged at this stage that many of the key strategic objectives, previously established for Youth Justice, will be rolled over into 2012/13 with only minor modifications.
- 3.3 Local planning has had full cognisance of those areas for improvement and priorities identified by the local Youth Justice Board Partnership Manager, the local Youth Offending Service Strategic Board, and has incorporated feedback from staff and service users. Further to this, the plan acknowledges the role of the Youth Offending Service in the recently developed Early Intervention Strategy.
- 3.4 The local planning framework incorporates input from Scrutiny Coordinating Committee, alongside further opportunity for Cabinet to comment on the plan as part of the decision-making process.
- 3.5 The local Youth Justice Strategic Plan (Appendix 1) summarises each of the key service priorities and actions for 2012 - 2013 and establishes responsibility across the Youth Offending Service and the Youth Offending Strategic Board for taking each improvement activity forward within agreed timescales.

#### **4. KEY OBJECTIVES 2012/2013**

4.1 Hartlepool Youth Offending Service is committed to the provision of high quality youth justice services, in partnership with other services and organisations, with the aim of preventing offending and re-offending by children and young people. In addition to the services provided to young people in or at risk of entering the Youth Justice System the service recognises the role it has in increasing public confidence in the youth justice system and increasing victim satisfaction through their involvement in restorative and reparative processes alongside its contribution to broader strategies seeking to improve outcomes for children, young people and their families more generally. This is reflected in the service's proposed eight strategic objectives for 2012/2013:

- Ensure the Youth Offending Service is a good place to work focusing on staff training, support and development.
- Sustain and deliver excellent partnership arrangements with existing partners and develop partnership arrangements with the new services being developed through the local Early Intervention Strategy.
- Sustain the reduction of first time entrants to the youth justice system.
- Reduce further offending by young people who have committed crime.
- Ensure that there are effective arrangements in place for the management of the risk and vulnerability of young people and their families.
- Maintain and improve compliance and performance in accordance with National Standards for Youth Justice.
- Provide high quality Restorative Justice Services that support victims of youth crime and provide confidence to the community in local Youth Justice Services.

#### **4. RECOMMENDATIONS**

4.1 Scrutiny Coordinating Committee is requested to comment and make recommendations to support the further development of the local Youth Justice Plan for 2012/13.

#### **5. BACKGROUND PAPERS**

5.1 The following background papers were used in the preparation of this report:

5.2 The Youth Justice Boards: Youth Justice Performance Improvement Framework (Guidance for Youth Justice Board English Regions available at: <http://www.justice.gov.uk>)

## 6. CONTACT OFFICERS

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**Hartlepool Youth Offending Service**

**Youth Justice Strategic Plan 2012-2013**

**First Draft**

**CONTENTS**

1	Introduction	Page 3
2	Local Needs Analysis	Page 6
3	Resources and Value for Money	Page 10
4	Structure and Governance	Page 12
5	Partnership Arrangements	Page 18
6	Risks to Future Delivery	Page 26
7	Youth Justice Action Plan 2012-2013	Page 29

## 1 Introduction

The Hartlepool Youth Justice Plan 2012-2013 sets out the strategic objectives and arrangements to ensure the effective delivery of local youth justice services in Hartlepool. The primary functions of Youth Justice Services are prevent offending and re-offending by Children & Young People in Hartlepool and reduce the use of custody.

Under section 39 (1) of the 1998 Crime and Disorder Act it is the duty of every Local Authority, acting in co-operation with partner agencies, to establish for their area one or more youth offending teams who will have responsibility for the provision and coordination of youth justice services for all those in the authority's area who need them.

Hartlepool Youth Offending Service (YOS) was established in April 2000 following the introduction of the Crime and Disorder Act 1998. It is multi-agency service and is made up of representatives from the Council's Children Services, Police, Probation, Health, Education and the local voluntary/community sector directed by the Head of Service. Because the Youth Offending Service incorporates representatives from a wide range of services, it can respond to the needs of young offenders, and their families in a comprehensive and coordinated way.

The Youth Offending Service is committed to the provision of high quality youth justice services, in partnership with other services and organisations, with the aim of preventing offending and re-offending by children and young people. In addition to the services provided to young people in or at risk of entering the Youth Justice System the service recognises the role it has in increasing public confidence in the youth justice system and increasing victim satisfaction through their involvement in restorative and reparative processes alongside its contribution to broader strategies seeking to improve outcomes for children, young people and their families more generally.

Since its inception Hartlepool Youth Offending Service has been overseen and monitored (like all other Youth Offending Services in the Country) by the national Youth Justice Board. The national Youth Justice Performance Improvement Framework is the Youth Justice Board's primary tool for monitoring and securing performance improvement across Youth Offending Services in England and Wales. The framework builds upon the statutory responsibilities for Youth Offending Services established under the 1998 Crime and Disorder Act 1998 through a requirement for all Youth Offending Services to annually prepare, as part of the local business planning cycle, a local Youth Justice Strategic Plan for submission to the Youth Justice Board.

Following the coalition government's decision in 2011 to forgo the abolishment of the Youth Justice Board, planning has commenced to review the current plan (2011-2012) and prepare the local Youth Justice Plan in line with existing guidance for 2012-2013. National guidance suggests the Plan should address four key areas and it is these areas that will be refreshed to reflect the position for the service going forward:

- **Resourcing and value for money** – To demonstrate that available resources are being deployed appropriately to deliver effective youth justice services to prevent offending and reoffending.
- **Structure and Governance** – To ensure that appropriate structures and robust governance arrangements are in place necessary to ensure the effective delivery of local youth justice services.

- **Partnership Arrangements** - To demonstrate that effective partnership arrangements are in place between the Youth Offending Service, statutory partners and other local partners that have a stake in delivering youth justice services and that these arrangements generate effective outcomes for children and young people who offend or are at risk of offending.
- **Risks to Future Delivery** - To ensure the Youth Offending Service has the capability to identify risks to future delivery and to determine how best the Youth Offending Service and the broader partnership's can address these risks.

## 2 Local Needs Analysis

Hartlepool is a small unitary authority on the North East coast of England. The borough as a whole covers 9,386 hectares and is predominantly rural with four distinct villages. The majority of the town's 91,900 people live in the urban area. Approximately 25% of the population are children and young people (under 18) and 10.8% (9905) are aged 10 to 17, the YOS client group. Despite significant regeneration over the past twenty years the Index of Multiple Deprivation (2007) indicates that Hartlepool is still ranked as the 23<sup>rd</sup> most deprived out of England's 354 Local Authority districts. Deprivation covers a broad range of potentially life limiting issues and refers to unmet needs caused by the interplay of a number of local factors that impact upon families living conditions such as:

- low Income;
- exclusion from the labour market;
- impairment of quality of life by poor physical and mental health and disability;
- educational underachievement, barriers to progression and a shortage of skills and qualifications amongst adults;
- barriers to accessing key local services and affordable housing;
- low quality of individuals' immediate surroundings both within and outside the home; and
- a prevalence of violent crime, burglary, theft and criminal damage in an area.

Local analysis of need and outcomes highlights that, whilst there are families who are more resilient to deprivation, the interplay of the above factors clearly places families who are contending with deprivation at a disadvantage. This can significantly limit the opportunities and outcomes for their children which, in time, will tend to perpetuate a cycle of deprivation and disadvantage due to diminished life chances.

Unemployment in Hartlepool was 12.6% in 2010/2011 compared to the North East average at 9.8%. This is an increase on 2010 but in line with other areas where unemployment rates remain high.

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

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

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

Organisation structures are in place to support partnership working across the Tees Valley (Darlington, Hartlepool, Stockton & South Tees Youth Offending Services) and a variety of natural links have been developed with other organisations.

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

- Above average proportion of people with a health problem.
- Above average proportion of single parent households.
- Above average levels of households without access to a car.
- above average levels of teenage pregnancy (15 to 17 years)

- Above average gap between young people on free school meals achieving 5 A\* - C GCSE's including English and Maths in comparison to their peers.
- Above average binge drinking levels and hospital admissions.
- Above average levels of Child Poverty.
- Below average owner-occupiers but above average households renting from local authorities or housing associations.
- Below average proportion of ethnic minorities.

In the Governments Index of Multiple Deprivation (IMD) of 354 English districts Hartlepool is ranked 23<sup>rd</sup> with Middlesbrough being the only other Tees Valley District ranked as more deprived (9<sup>th</sup>). Close to half (47%) of Hartlepool's residents live in wards that are in the 20% most deprived in the Country whilst only 5% live in the 20% most affluent.

### **Local Youth Crime – Key Characteristics**

In 20010/11, Hartlepool Youth Offending Service dealt with a total of 236 young offenders who committed 492 offences. 193 were male and 43 female. This represents a significant 21.5% reduction in offenders and 22.1% reduction in offences on the previous year. The table below illustrates the type and numbers of offences committed by these young people and the trend over the last six years (these figures will be updated once annual data for 2011/2012 have been verified by the Youth Justice Board).



Grouping	Offence	2005/06	2006/07	2007/08	2008/09	2009/10	2010/11
Breach	Breach of Bail	14	14	11	8	0	6
	Breach of Conditional Discharge	2	5	6	6	3	8
	Breach of Statutory Order	8	45	33	28	38	15
Vehicle	Death or Injury by Reckless Driving	0	0	0	0	0	0
	Motoring Offences	136	87	74	51	73	21
Theft and Burglary	Theft and Handling	142	215	245	200	140	108
	Vehicle Theft	35	24	30	12	21	12
	Domestic Burglary	22	47	35	22	14	11
	Non Domestic Burglary	11	16	14	25	8	12
	Fraud & Forgery	5	13	2	1	5	4
	Robbery	3	4	0	6	4	1
	Racially/Aggravated	3	8	2	0	3	4
Violence	Sexual Offences	2	2	3	5	1	3
	Violence Against Person	124	187	146	117	128	76
	Arson	4	9	8	6	1	3
Other	Criminal Damage	90	140	121	109	103	78
	Drugs Offences	16	13	9	23	22	16
	Other	14	19	18	9	11	25
	Public Order	51	104	101	71	57	89
	TOTAL	682	952	858	699	632	492

### 3 Resources and value for money

Adequate resourcing and the appropriate use of resources underpin the ability of the Youth Offending Service to deliver high quality services. The Youth Offending Service Budget for 2012/13 has seen a drop in both local authority and Youth Justice Board funding and as a consequence is 11% less than 2011/2012 at 1.16 million. The budget is made up of a central grant from the Youth Justice Board and contributions from statutory partners (Health, Children's Social Care, Police and Probation). Hartlepool Borough Council is the major funding

Youth Offending Service Partnership funding settlements are anticipated to continue to be challenging for the foreseeable future and introduction of Police and Crime Commissioners in late 2012 has the potential have a further impact upon the resources of the Youth Offending Service going forward. It is anticipated that the Home Office element of the Youth Justice Grant (amongst other Home Office monies) will go to Police and Crime Commissioners who will have a remit to cut crime, and will have commissioning powers and funding to enable them to do this.

In preparation for further reductions in funding Hartlepool Youth Offending Service intends to work with its partners to continue to drive efficiency within the Service through the delivery of high quality, lean and efficient practices which make maximum use of resources.

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

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

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

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

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

Hartlepool YOS is working through the Children's Strategic Partnership commissioning processes to ensure this takes place.

The YOS will continue to manage and review existing commissioned services to ensure that commissioned services continue to perform to the desired level and provide best value for money.

## 4 Structure and Governance

### Governance

The Youth Offending Service is located within the Prevention, Safeguarding and Specialist Services Division of the Child and Adult Services Department. The Management Board is chaired by a local Chief Inspector and has representatives from Child and Adult Services, Prevention, Safeguarding and Specialist Services, Police, Probation, Health, Courts and Housing, Youth Support Services and the local voluntary/community Sector.

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

The board is directly responsible for:

- **determining how the youth offending team(s) is to be composed and funded, how it is to operate and what functions it is to carry out;**
- **determining how appropriate youth justice services are to be provided and funded;**
- **overseeing the formulation each year of a draft youth justice plan;**
- **overseeing the appointment or designation of a youth offending team manager; and**
- **agreeing measurable objectives linked to key performance indicators as part of the youth justice plan.**

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

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

The membership of the Board is as follows:

Lynne Beeston	Chief Inspector – Cleveland Police
Sally Robinson	Assistant Director - Prevention, Safeguarding & Specialist Services
Dean Jackson	Assistant Director – Performance and Achievement
Khalid Azam	Ass. Director – Children's Services Primary Care Trust
Lucia Saiger	Director of Offender Services - Durham Tees Valley Trust
Jean Bell	Principal Legal Advisor - Hartlepool Magistrates Court
Lynda Igoe	Principal Housing Officer
Sally Forth	Community Safety Manager

Dave Wise	Chair of the West View Project (Voluntary/Community Sector representative).
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The Youth Offending Service Manager and nominated officers of the YOS are members of a number of groups where strategies need to take into account young people who offend for example Criminal Justice Intervention Managers, Anti-social Behaviour, Family Intervention Project, Parenting Strategy, Substance Misuse, Pupil Referral Unit Management Board, Social Inclusion Strategy Group, Children's Trust Infrastructure Group, Multi Agency Public Protection Arrangements (MAPPA), Strategic Management Board, and Local Children's Safeguarding Board and the Cleveland Criminal Justice Board. The Youth Offending Service is represented on the Children's Trust, Local Safeguarding Children Board and the Crime and Disorder Reduction Partnership.

### **Structure**

The YOS is currently structured into 2 main areas; Pre-court and Post-court. The Pre-court team works with those children and young people requiring support to prevent them becoming involved in crime and anti-social behaviour and as a consequence entering the criminal justice system. The team also work with those young people who have come to the attention of the Police and have been the subject of a triage intervention, reprimand or final warning. Each worker within the team is attached to a designated secondary school as part of the 'Team Around the School' arrangements.

The promotion and introduction of Restorative Justice procedures is a high priority for the Pre-court and Restorative Justice Team. The increased use of the 'Triage' early intervention system in partnership with Cleveland Police and the effective use of reparation are just two areas in continual development.

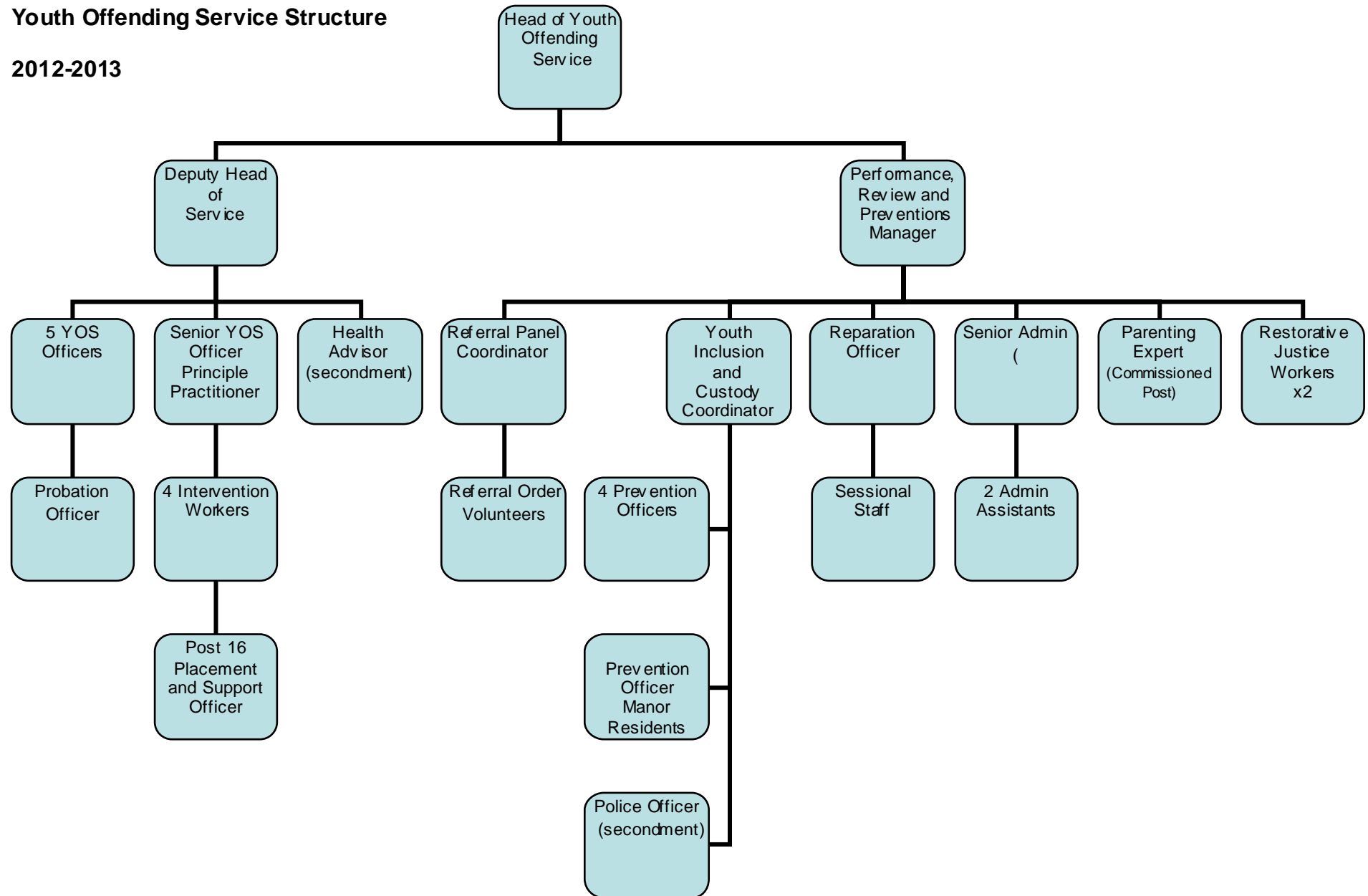
The Post Court work is undertaken with young people aged 10 – 17 who have entered the criminal justice system and are subject to a court order.

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

The Youth Offending Service currently has a staff team of 33 people, which includes 3 seconded staff, 3 outsourced staff and 3 sessional workers.

# Youth Offending Service Structure

2012-2013





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

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

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

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

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

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

## 5 Partnership arrangements

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

- **criminal justice services.**
- **services for children and young people and their families.**

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

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

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

### **Safer Hartlepool Partnership**

The Safer Hartlepool partnership is the statutory body charged with coordinating the activities of its members (including the YOS) to work together to keep crime down across the Borough. Members include; Hartlepool Borough Council, Cleveland Police, Cleveland Fire Brigade, Hartlepool Housing, Hartlepool PCT, Youth Offending Service, Drug Strategy Team, Anti-social Behaviour Unit, National Probation Service Teesside, Harbour and several other community and voluntary groups.

The Partnership has published its three-year Crime, Disorder, and Drugs Strategy (2008-2011) which sets out its priorities in a number of key areas, namely;

- Reduce acquisitive crime in Hartlepool
- Reduce alcohol related social nuisance, disorder and violence linked to the night- time economy in the town centre.
- Reduce levels of anti-social behaviour.
- Reduce incidents of domestic violence and improve joint working services in relation to domestic violence.
- Promote reassurance and improve public confidence.
- Prevent offending

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

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

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

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

1. Tackling Inequalities;
2. Narrowing the Gap;
3. Eradicating Child Poverty;
4. Living Safely;
5. Promoting Emotional Well-being.

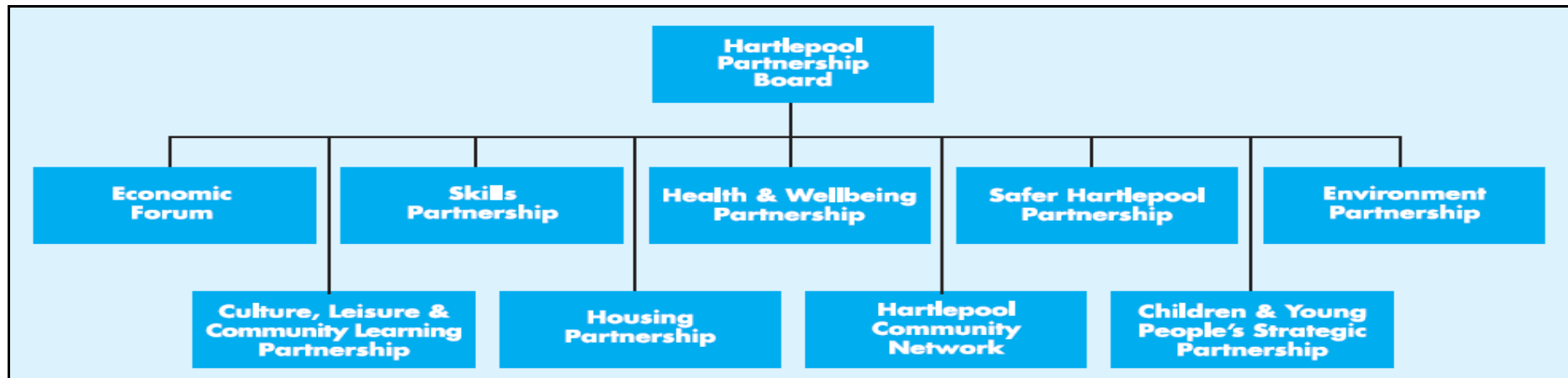
You can download the Children and Young Peoples Plan at

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

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

### The Hartlepool Partnership

The Hartlepool Partnership brings together all of the Borough's partnerships delivering local services and is a network of partnerships. It provides opportunities for involvement for a wide range of organisations and individuals in the development and implementation of policy. The Partnership is made up of a Board and a series of Theme Partnerships.



The Partnership has worked to prepare a new Community Strategy.

### Community Strategy 2008 – 2020

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

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

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

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

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

Intensive Supervision and Surveillance funding which was previously centralised across the Tees Valley has now been devolved to individual Services, and Hartlepool is currently developing ISSP in-house.

The Youth Offending Service is a key member of the Safer Hartlepool Partnership, which is the local crime prevention and community safety service, covering anti-social behaviour, prevention of offending and re-offending, drugs and alcohol with a focus upon public reassurance.

Service level agreements and protocols are in place with partner agencies for referrals and delivery of appropriate services to young people and their families to meet their needs. The Children's Society deliver restorative justice interventions including victim offender mediation and work with victims in completing victim impact statements to be used in the work with the offender.

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

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

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

## **The Early Intervention Strategy**

The recent development of Hartlepool Early Intervention Strategy acknowledges that the best way of dealing with offending and antisocial behaviour by young people is to stop it from happening in the first place. The key premise of the strategy is to focus more time and money on helping young people not to offend in the first place.

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. Families will be supported as needs emerge to identify, at the earliest opportunity, what services and support they require to transform their lives.

The vision and strategy are based on a series of principles designed to underpin the provision of prevention and early intervention services. These are:

- Think Family – all partners see their interventions within the context of whole family needs;
- Parents as partners in securing improved outcomes for children;
- A child centred system where the needs of the child are the paramount consideration;
- A commitment to prevention through early intervention;
- Offering children the best start in life;
- Supporting families throughout childhood and adolescence;
- Accessible, local, community based services for families;
- A high quality workforce;
- Commissioning and delivering programmes that work.



The strategy set out a new model of service delivery that focuses on prevention and early intervention ensuring children, young people and their families receive support in a timely way and tailored to their individual circumstances and it is envisaged that this will significantly support local efforts to prevent offending and re-offending by Children & Young People in Hartlepool and reduce the use of custody.

## 6 Risks to future delivery

The broader context for this Youth Justice Plan remains the publication (December 2010) of their green paper entitled Breaking the Cycle: Effective Punishment, rehabilitation and Sentencing of Offenders, which outlines their plans for the Criminal Justice System in 3 areas;

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

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

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

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

Further to this has been the publication of 'A new approach to fighting crime' (March 2011) which lays out the coalition governments ambition to introduce the role of the Police and Crime Commissioners who will have responsibility for the local prioritisation of Home Office funding going forward. Hartlepool Youth Offending Service is confident that by working through local partnerships Youth Justice will continue to remain a key focus within the borough in the coming year and will seek to secure funding via the Police Crime Commissioner to continue to deliver a high quality and effective service to prevent offending and re-offending by Children & Young People in Hartlepool and reduce the use of custody.

Potential further reductions in core funding and the lack of clarity around grant allocations, with subsequent loss of specialist staff and difficulties with recruitment are always areas of concern; however the YOS has successfully met these challenges in the past and is well placed to overcome any unpredictable future problems with the support of a committed, strong Management Board.

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

The YOS Partnership will be proactive in addressing risks to ensure it continues to achieve its central aim and this gives rise to the following priorities for 2012-13:

- **Ensure the Youth Offending Service is a good place to work focusing on staff training, support and development.**
- **Sustain and deliver excellent partnership arrangements with existing partners and develop partnership arrangements with the new services being developed through the local Early Intervention Strategy.**
- **Sustain the reduction of first time entrants to the youth justice system**

- **Reduce further offending by young people who have committed crime**
- **Ensure that there are effective arrangements in place for the management of the risk and vulnerability of young people and their families.**
- **Maintain and improve compliance and performance in accordance with National Standards for Youth Justice.**
- **Provide high quality Restorative Justice Services that support victims of youth crime and provide confidence to the community in local Youth Justice Services.**

The following Action Plan details how these strategic objectives will be taken forward during 2012-2013.

## 7 Youth Justice Action Plan 2012-2013

Key Objective	Key Actions	Resources	Responsible Officer(s)	Timeline	Performance Monitoring and Indicators
Ensure the Youth Offending Service is a good place to work focusing on staff training, support and development.	<ul style="list-style-type: none"> <li>Maintain arrangements for the effective support of staff through regular supervision, annual appraisal, annual training reviews and team meetings.</li> </ul>	Officer time	YOS Management Team	<p>Ongoing</p> <p>June 2012-03-29</p> <p>October 2012</p> <p>Ongoing</p>	<p>All staff to receive monthly supervision.</p> <p>Managers facilitate Annual Appraisal for all staff by June 2012.</p> <p>Managers facilitate Annual Training Review for all staff by October 2012 to support the identification of individual and whole service training priorities.</p> <p>Managers facilitate monthly whole service meetings to support mutual appreciation of roles across the service.</p>

<p><b>Sustain and deliver excellent partnership arrangements with existing partners and develop partnership arrangements with the new services being developed through the local Early Intervention Strategy.</b></p>	<ul style="list-style-type: none"> <li>Actively participate in the ongoing development of the local Early Intervention Strategy.</li> </ul>	Officer time	All Staff	Ongoing (reviewed quarterly)	Attendance from across the service in Early Intervention development meetings and workshops.
	<ul style="list-style-type: none"> <li>Review all existing partnership arrangements with a view to improving collaborative working arrangements to improve outcomes for young people and their families.</li> </ul>	Officer time	<p>Mark Smith</p> <p>Jacquie Gofton</p> <p>Louise Hurst</p>	March 2013	Partnership Arrangements reviewed with clear expectations of partners areas of responsibility and commitments by March 2013

<b>Sustain the reduction of first time entrants to the youth justice system</b>	<ul style="list-style-type: none"> <li>Develop, review and improve current interventions to secure bespoke packages of support for young people and their families (including exit strategies and transitions).</li> </ul>	Officer time	Roni Checksfield Graham Liggitt	June 2012	First Time Entrants are further reduced from a Baseline of 93 in 2010/2011.
	<ul style="list-style-type: none"> <li>Work closely with Cleveland Police to further develop the pre-court disposals process.</li> </ul>	Officer time	Roni Checksfield	Ongoing (reviewed quarterly)	First Time Entrants are further reduced from a Baseline of 93 in 2010/2011.
	<ul style="list-style-type: none"> <li>Work effectively to increase the engagement in education, training and employment (ETE) of young people in the youth justice system.</li> </ul>	Officer time	YOS Pre Court Team Mellissa Thornhill Emma Rutherford	Ongoing (reviewed quarterly)	Engagement in ETE is raised from an annual baseline of 69.5% in 2010/2011
	<ul style="list-style-type: none"> <li>Participate in the Youth Justice Boards Peer</li> </ul>	Financial cost to be determined	Youth Offending Service and Youth Offending	September 2012	Areas of strength and areas

	Review process to determine the effectiveness of internal systems and local arrangements for the prevention of youth crime.		Service Management Board		that would benefit from improvement are identified and any remedial action is taken to raise standards.
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<b>Reduce further offending by young people who have committed crime</b>	<ul style="list-style-type: none"> <li>Develop, review and improve current interventions to secure bespoke packages of support for young people and their families (including exit strategies and transitions).</li> </ul>	Officer Time	Roni Checksfield and Graham Liggitt	Ongoing (reviewed quarterly)	First Time Entrants are further reduced from a Baseline of 93 in 2010/2011.
	<ul style="list-style-type: none"> <li>Work effectively to increase the engagement in education, training and employment (ETE) of young people in the youth justice system.</li> </ul>	Officer Time	YOS Post Court Team Mellissa Thornhill Emma Rutherford	Ongoing (reviewed quarterly)	Engagement in ETE is raised from an annual baseline of 69.5% in 2010/2011.
	<ul style="list-style-type: none"> <li>Continue to work closely with the management of the Attendance Centre (Middlesbrough) to continuously improve the interventions we can provide.</li> </ul>	Officer Time	YOS Post Court Team	Ongoing (reviewed quarterly)	First Time Entrants are further reduced from a Baseline of 93 in 2010/2011.

	<ul style="list-style-type: none"> <li>Participate in the Youth Justice Boards Peer Review process to determine the effectiveness of internal systems and local arrangements for the reduction of youth crime.</li> </ul>	Financial cost to be determined	Youth Offending Service and Youth Offending Service Management Board	September 2012	Areas of strength and areas that would benefit from improvement are identified and any remedial action is taken to raise standards.
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<b>Ensure that there are effective arrangements in place for the management of the risk and vulnerability of young people and their families.</b>	<ul style="list-style-type: none"> <li>• Maintain operational procedures to ensure we are working within guidance issued by MAPPA (Multi Agency Public Protection Arrangements).</li> </ul>	Officer time	Louise Hurst	Ongoing (reviewed quarterly)	Risk, threats and vulnerability levels to both the young person and/or the broader community are identified and reviewed regularly to support the development of multi agency arrangements to protect individuals and the broader community.
	<ul style="list-style-type: none"> <li>• Maintain operational procedures to ensure risk and vulnerability are reviewed regularly and that the review of risk and vulnerability remains at the forefront of performance management arrangements.</li> </ul>	Officer time	YOS Management Team	Ongoing (Reviewed Fortnightly)	Risk, threats and vulnerability levels to both the young person and/or the broader community are identified and reviewed regularly to support the development of multi agency arrangements to protect individuals and the broader community.
	<ul style="list-style-type: none"> <li>• Maintain multi-agency procedures to ensure risk and vulnerability are reviewed regularly across</li> </ul>	Officer time	Louise Hurst	Ongoing (Reviewed Fortnightly)	Risk, threats and vulnerability levels to both the young person and/or the broader community are identified and reviewed regularly to support the

	<p>those services involved in the support of young offenders or young people at risk of offending.</p> <ul style="list-style-type: none"> <li>• Participate in the Youth Justice Boards Peer Review process to determine the effectiveness of internal systems and local arrangements for the management of risk and vulnerability.</li> </ul>	Financial cost to be determined	Youth Offending Service and Youth Offending Service Management Board	September 2012	<p>development of multi agency arrangements to protect individuals and the broader community.</p> <p>Areas of strength and areas that would benefit from improvement are identified and any remedial action is taken to raise standards.</p>
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<b>Maintain and improve compliance and performance in accordance with National Standards for Youth Justice.</b>	<ul style="list-style-type: none"> <li>Continue to develop data processing auditing, training and data surgeries to improve accuracy of recording procedures.</li> </ul>	Officer Time	Jacquie Gofton	Ongoing (reviewed Monthly)	Reporting requirements are compliant with Youth Justice National Standards.
	<ul style="list-style-type: none"> <li>Participate in the Youth Justice Boards Peer Review process to determine the effectiveness of internal systems and local arrangements for the prevention and reduction of youth crime and the management of risk and vulnerability and their compliance with National Standards.</li> </ul>	Financial cost to be determined	Youth Offending Service and Youth Offending Service Management Board	September 2012	Areas of strength and areas that would benefit from improvement are identified and any remedial action is taken to raise standards.

<b>Provide high quality Restorative Justice Services that support victims of youth crime and provide confidence to the community in local Youth Justice Services.</b>	<ul style="list-style-type: none"> <li>• Manage the new contract for the delivery of Restorative Justice Services. to develop and improve outcomes for victims.</li> </ul>	Officer Time	Jacquie Gofton	Ongoing (Reviewed Quarterly)	<p>Victims report increased satisfaction</p> <p>Young people are aware of the consequences of their actions, have the opportunity to make reparation and agree a plan for their restoration in the community.</p>
	<ul style="list-style-type: none"> <li>• Promote the work and success of the YOS in local communities and with key stakeholders.</li> </ul>	Officer Time	YOS Management Team	Ongoing (Reviewed fortnightly via Management Meetings)	<p>Public confidence in the criminal justice system is increased.</p>

# SCRUTINY CO-ORDINATING COMMITTEE

13th April, 2012



**Report of:** Corporate Management Team

**Subject:** QUARTER 3 – REVENUE FINANCIAL  
MANAGEMENT REPORT 2011/2012

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## SUMMARY

### 1. PURPOSE OF REPORT

- 1.1 To provide details of progress against the Council's overall revenue budget for 2011/2012.

### 2. CONSIDERATION OF ISSUES

- 2.1 A separate report has not been prepared for your Committee as a comprehensive report was submitted to Cabinet on 19<sup>th</sup> March, 2012 (**Appendix 1**). The report was also submitted to Council on 12<sup>th</sup> April, 2012. This report sets out the key issues to bring to your attention.
- 2.2 In line with previous monitoring reports, the attached report provides an overall picture of progress against the approved 2011/2012 revenue budget.

### 3. RECOMMENDATIONS

- 3.1 Members consider the report.

# CABINET REPORT

19<sup>th</sup> March, 2012



**Report of:** Corporate Management Team

**Subject:** QUARTER 3 – REVENUE FINANCIAL  
MANAGEMENT REPORT 2011/12

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## SUMMARY

### 1. PURPOSE OF REPORT

To inform Cabinet of details of progress against the Council's overall revenue budget for 2011/2012 and to provide an update on the forecast outturn.

### 2. SUMMARY OF CONTENTS

The report covers the following areas:

- Background;
- Revenue Budget Outturn (including General Fund Budget, Trading Account Forecast Outturn, Early Intervention Grant Outturn );
- Industrial Action Pay Saving and Special Responsibility Allowance Savings;
- Key Balance Sheet Information.

### 3. RELEVANCE TO CABINET

Cabinet has overall responsibility for the monitoring of the Council's Revenue budget.

### 4. TYPE OF DECISION

Budget and Policy Framework.

### 5. DECISION MAKING ROUTE

Cabinet 20<sup>th</sup> February, 2012  
Council 12<sup>th</sup> April, 2012



**6. DECISION(S) REQUIRED**

Cabinet is asked to approve the recommendations to be referred to Council as detailed in Section 7.

**Report of:** Corporate Management Team

**Subject:** QUARTER 3 – REVENUE FINANCIAL  
MANAGEMENT REPORT 2011/12

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**1. PURPOSE OF REPORT**

- 1.1 To inform Cabinet of details of progress against the Council's overall revenue budget for 2011/2012 for the period up to 30<sup>th</sup> December and to provide an update on the forecast outturn.

**2. BACKGROUND**

- 2.1 In 2011/12 the Council is managing a gross revenue budget of £210.8m. This includes services funded from specific grants and income from fees and charges for services, which in total funds £118.9m of the gross revenue budget. The remaining expenditure is funded from the Formula Grant, Council Tax and the planned use of the Budget Support Fund. The financial management arrangements review all aspects of the gross budget. These arrangements also concentrate on the net revenue budget of £91.9m, as ultimately any variances in the gross budget needs to be managed within this limit.
- 2.2 This report provides details covering the following areas:-
- Revenue Budget Outturn (including General Fund Budget, Trading Account Forecast Outturn, Early Intervention Grant Outturn );
  - Industrial Action Pay Saving and Special Responsibility Allowance Savings;
  - Key Balance Sheet Information.
- 2.3 This report will be submitted to Scrutiny Co-ordinating Committee on 13<sup>th</sup> April 2012.

**3 REVENUE BUDGET OUTTURN**

- 3.1 Details of forecast outturn have been reported to Cabinet in October and December 2011 and February 2012 for the different areas of the Council's operations. These reports identified the reasons for forecast outturns, which reflected the robust management of budgets, the avoidance of expenditure where possible and the early achievement of 2012/13 savings. The reports also identified proposals for using available resources to address specific financial risks and to protect the

Council's medium term financial position, particularly the financial challenges facing the Council in 2013/14 as a result of ongoing grant cuts, the re-localisation of Business Rates and the transfer of Council Tax Benefits to local authority control with a 10% funding cut.

- 3.2 Further detailed work has now been completed on the forecast outturns and these details are summarised in the following paragraphs.

### 3.3 General Fund Budget

- 3.4 As reported previously further work was needed to assess the outturn position for gas and electricity budgets and adult social care costs. The latter issue reflected a risk of increasing costs as a result of the PCT taking a more robust approach to assessing and reviewing health needs than in the past, which legitimately could increase costs to the Council in some cases.

- 3.5 These issues have now been reviewed and it is expected there will be an underspend at the year end owing to lower energy prices and usage over the second half of the winter as a result of continuing milder weather. There have been no additional social care costs from the PCT.

- 3.6 Departments have also continued to manage expenditure robustly and avoided expenditure where possible. In addition, some expenditure anticipated in the current year will be delayed until 2012/13.

- 3.7 A number of additional expenditure commitments have also been identified which it would be prudent to fund from the additional 2011/12 underspend to protect the Council's financial position in 2012/13. These issues are detailed in Appendix A and total £225,000. This amount includes £90,000 to cover expenditure commitments delayed until 2012/13.

- 3.8 Council consideration and approval is needed to earmark additional outturn resources to fund the commitments detailed in Appendix A. Assuming this is granted there will be a net underspend to transfer to the General Fund Reserve of £177,000 as summarised below:

	Commitment/ (underspend) £'000
Lower Energy costs	150
Managed Departmental Underspends	162
Expenditure Commitments delayed to 2012/13	90
Proposed Specific Reserves (as detailed in Appendix A)	(225)
Net Underspend to transfer to General Fund Balances	177

- 3.9 If full Council approves the proposals detailed in Appendix A use of these reserves will be managed in accordance with the Budget and Policy Framework Procedure Rules and monitored through the Council's existing financial reporting arrangements.

### 3.10 Trading Account Forecast Outturn

- 3.11 Detailed work on forecast outturns for trading accounts has also been completed and a number of positive financial outturns are now anticipated at the end of the financial year. An assessment has also been made of the impact of these outturns on future years Trading Accounts as in some instances the 2011/12 outturn reflects the receipt of income which needs to be carried forward to fund expenditure in future years.
- 3.12 For example, the Vehicle Fleet Trading account will be in surplus at the end of 2011/12 owing to repairs and maintenance costs being lower than they will be in future years when vehicles are older and need more repairs and maintenance. This position reflects the existing strategy of charging fixed annual repairs and maintenance charges for vehicles to avoid 'lumpy' annual recharges which would make year to year budget management unviable. In previous years these timing differences were managed through the year end budget management arrangements for Trading Accounts and resources were carried forward to meet future repairs and maintenance commitments.
- 3.13 Similarly, the Engineering Consultancy Trading account has generated additional fee income on major projects. It would be prudent to carry these resources forward to manage downturns in fee income. This will avoid unbudgeted pressures in future years and enable the Council to maintain in-house expertise and employment.
- 3.14 Following the recent decision by Council on the use of additional outturns, proposals for using Trading Account outturns need full Council approval. Details of proposals for allocating 2011/12 Trading Account outturns are provided in Appendix B totaling £0.325m. If full Council approves these proposals use of these resources will be managed in accordance with the Budget and Policy Framework Procedure Rules and monitored through the Councils existing financial reporting arrangements.
- 3.15 **Early Intervention Grant Forecast Outturn**
- 3.16 Careful and robust management of Early Intervention Grant expenditure has continued and this action has achieved an additional underspend of £0.120m.
- 3.17 In addition, the Council received an unannounced increase in the EIG grant allocation for 2011/12 of £0.022m on 24th February 2012. The Department for Education has not provided an explanation for this increase. This position is not unexpected as this is not a ring fenced grant.
- 3.18 There are no commitments or additional financial risks which need to be funded from the increased underspend on the EIG, or the additional grant recently announced by the Government. Therefore, it is recommended that these resources, which total £0.142m are transferred to the General Fund Reserve.
- 4. INDUSTRIAL ACTION PAY SAVING AND SPECIAL RESPONSIBILITY ALLOWANCE SAVINGS**

- 4.1 An initial assessment of the saving in pay costs as a result of the national day of industrial action anticipated a one off saving of £50,000. Council resolved to allocate these resources to establish a ring-fenced budget for retraining staff on the redeployment register. The actual budget saving has now been calculated and is £47,000.
- 4.2 There will be a saving in the current year from a reduction in the number of Special Responsibility Allowances paid to Cabinet Members of approximately £3,000. It is recommended that this amount is allocated to offset the reduction in the pay saving arising from the industrial action and is allocated towards the ring-fenced budget for retraining staff on the redeployment register.
- 4.3 The above issues will provide the ring-fenced budget for retraining staff on the redeployment register of £50,000.

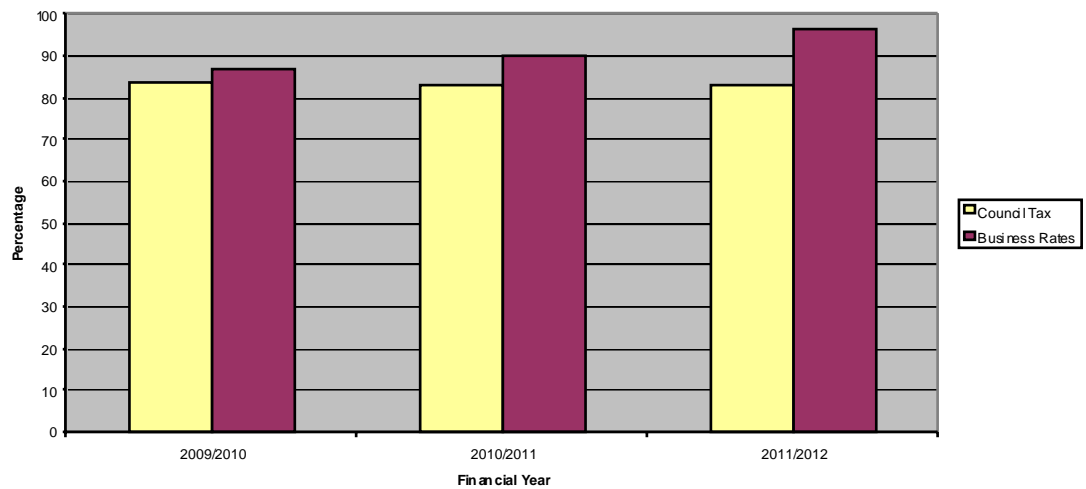
## **5. KEY BALANCE SHEET INFORMATION**

- 5.1 A Balance Sheet provides details of an organisation's assets and liabilities at a fixed point in time, for example, the end of the financial year or other fixed accounting periods. Traditionally local authorities have only produced a Balance Sheet on an annual basis. It is however appropriate to monitor the key cash balance sheet items on a more regular basis and these are summarised below:-

- Debtors

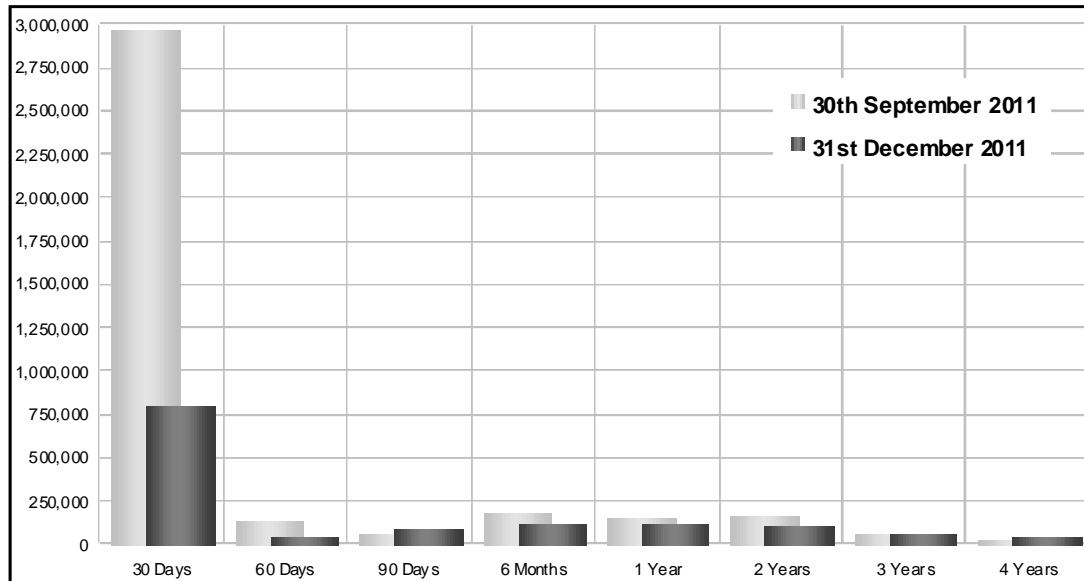
The Council's key debtors arise from the non payment of Council Tax, Business Rates and Sundry Debtors. These areas are therefore subject to detailed monitoring throughout the year. The position on Council Tax and Business rates are summarised below:-

Percentage of Debt Collected at 31st December



The Council Tax collection rate is up slightly by 0.02% and the NNDR collection rate has increased by 6.02% when compared to the same period last financial year. In-year collection rates are affected by the timing of week/month ends.

The position in relation to Sundry Debtors is summarised below:



At the start of the current financial year the Council had outstanding sundry debts of £3.124m. During the period 1<sup>st</sup> April 2011 to 31<sup>st</sup> December, 2011, the Council issued approximately 12,909 invoices with a value of £15.545m. As at the 31<sup>st</sup> December, 2011, the Council had collected £17.150m, leaving £1.519m outstanding, which consists of: -

- Current Debt - £1.079m

With regard to current outstanding debt, this totals £1.079m at 31<sup>st</sup> December, 2011, inclusive of approximately £0.805m of debt less than thirty days old.

- Previous Years Debt - £0.440m

These debts relate to the more difficult cases where court action or other recovery procedures are being implemented. At the 31<sup>st</sup> December, 2011, debts older than one year totalled £0.440m.

- Borrowing Requirement and Investments

The Council's borrowing requirement and investments are the most significant Balance Sheet items. Decisions in relation to the Council's borrowing requirements and investments are taken in accordance with the approved Treasury Management Strategy.

Two new long term loans totaling £4.233m have been taken out since 31<sup>st</sup> March 2011. These are linked to self funded schemes (i.e. the Social Housing Scheme and Photo-Voltaic (PV) Cells scheme). This locks the interest rates for these

schemes and keeps expenditure on servicing the loans within the costs established by the business cases. In relation to the Housing Scheme this action will provide an on ongoing revenue saving. The Medium Term Financial Strategy proposes earmarking this saving to support further housing investment. The Treasury Management Strategy has continued to net down investments and borrowings as this is the most cost effective strategy and reducing investment counter party risk.

## **6 CONCLUSIONS**

- 6.1 Departments have continued to manage expenditure robustly and avoid expenditure where possible for the General Fund budget and EIG budgets. As a result of this action additional year end underspends are forecast to be achieved.
- 6.2 The Corporate Management Team has identified a number of additional commitments which are not covered within existing budgets. Officers recommend that Cabinet seeks Council approval to establish specific reserves to manage these commitments to avoid these issues impacting on the 2012/13 budget. These items total £0.225m, including £0.090m of expenditure delayed from 2011/12 until 2012/13, as detailed in Appendix A.
- 6.3 Assuming Council approves the establishment of the specific reserves recommended by the Corporate Management Team a net underspend of £0.319m (£0.177m from the General Fund Budget and £0.142m from the EIG budget). In accordance with the resolution from the Council meeting on 9<sup>th</sup> February this money will be allocated to the Council's General Fund Reserve, to ensure that any further allocation of these monies is subject to full Council approval.
- 6.4 The Corporate Management team recommends that full Council delay developing a strategy for using the net underspend until the 2013/14 budget is developed. This will enable any usage to be considered in the context of the Council's overall financial position for 2013/14 and the financial issues which will need to be addressed, which includes:
  - The actual level of 2012/13 grant cuts – as reported previously the MTFS forecast is based on the national grant cuts in local government funding. Based on experience in 2011/12 and 2012/13 there is a risk that actual grant cuts for Hartlepool could be higher;
  - The actual impact on Hartlepool of the re-localisation of Business rates; and
  - The actual impact of the Council Tax Benefit changes.



## **7. RECOMMENDATIONS**

### **7.1** It is recommended that Cabinet:

- i) Note the report and the advice from the Corporate Management Team in respect of the following issues to be referred to Council for approval;
- ii) Seek Council approval to allocate part of the additional General Fund outturn to meet the commitments identified in Appendix A (£0.255m) and to transfer the remaining additional General Fund Outturn of £0.177m to the General Fund Reserve;
- iii) Seek Council approval to allocate the £0.325m from the Trading Account outturn to manage the risks and commitments identified in Appendix B;
- iv) Note that no additional Early Intervention Grant commitment or risks have been identified and the increased outturn of £142,000 will transfer to the General Fund Reserve;
- v) Recommend to Council that it would be prudent to delay developing a strategy for using the resources transferred into the General Fund Reserve detailed in (ii) and (iv) above until the 2013/14 budget process commences. This will enable any usage to be considered in the context of the Council's overall financial position for 2013/14 and the financial issues and risks which will need to be addressed as detailed in paragraph 6.4.
- vi) It is recommended that saving in the current year from a reduction in the number of Special Responsibility Allowances paid to Cabinet Members of approximately £3,000 is allocated towards the ring-fenced budget for retraining staff on the redeployment register.

## **8. CONTACT OFFICER**

- 8.1** Chris Little (Chief Finance Officer), Tel: 01429 523003, e-mail: [chris.little@hartlepool.gov.uk](mailto:chris.little@hartlepool.gov.uk)

**General Fund Budget - Proposed Specific Reserves**

Dept	Reserve	Amount £'000	Purpose of Reserve	How Reserve Funded
Adult	Bowling Club Rent	25	1 year rent free period from current lease for Indoor Bowling Club as approved by the Finance & Procurement Portfolio Holder on the 15.12.11	Increase in forecast managed underspend by Child & Adult Department
Child	Care Matters - Service Developments for Looked After Children	90	Internal Works at Church Street offices to create a suitable young persons space and multi purpose interview room. Young people will be involved in the design of this project. The balance of funding not required for this project will be allocated towards the potential refurbishment of Blakelock Gardens for semi independent housing for Care Leavers.	The underspend has arisen from the delayed implementation of this project.
Child	Education Psychology	17	Funding to cover maternity leave within the section ensuring services to schools are unaffected.	Increased income from services provided to schools.
Child	Performance Data - YOS Statistical Analysis	5	To fund a further 2 month secondment of a member of staff engaged in analysis relating to Youth Offending.	Funding was provided from YOS to carry out this statistical analysis. The project was delayed and this funding would ensure the project was completed.
Regen & N'Hoods	Contribution to Local Plan & Housing Strategic Studies Reserve	58	To support the future cost of undertaking Housing Strategic Studies and the Local Plan Review which occurs every 3-5 years.	An annual budget provision is set which will achieve the required cumulative amount required every 3-5 years. Underspends result each year and these are carried forward to fund the cost in year 3 or 5.
Regen & N'Hoods	Digital City	30	To cover Hartlepoons contribution towards a three year period of operation of the Digital City business initiative to assist in the development of a sub regional sustainable specialist business support programme. The funding requirement will likely be defrayed in financial year 2014-15 at the back end of the financial profile.	From overall outturn on departmental budgets.
<b>Total</b>		<b>225</b>		

**Trading Operations - Proposed Specific Reserves**

Dept	Reserve	Amount £'000	Purpose of Reserve	How Reserve Funded
Regen & N'Hoods	Contribution to Engineering Consultancy Reserve	100	To cover potential bad debts in this area and manage future potential income shortfalls as the capital programme is reducing in future years.	Higher than anticipated fee income on major capital projects and some one off funding.
Regen & N'Hoods	Contribution to Fleet Reserve	100	To manage future repairs and maintenance costs over the whole life of the fleet	Vehicle charges are fixed and include an allowance for repairs and maintenance costs over the operational life of the vehicle. This arrangement provides financial stability for users and supports annual budget planning. However, the timing of repairs and maintenance is difficult to predict and as such a surplus may result in one year which is followed by an overspend the next year. It is therefore prudent to create a reserve to manage this risk over the life of the fleet.
Regen & N'Hoods	Contribution to Plant Replacement Reserve	40	To fund the costs associated with Plant equipment over more than one year. These include repairs and maintenance as well as the purchase cost of future replacements.	The Council purchases Plant equipment which is used over a number of years. Hire charges are intended to cover the costs of ownership over the operational life of the Plant, including the replacement cost. This arrangement provides financial stability for users and supports annual budget planning. However, the timing of when purchases occur and when repairs and maintenance costs are incurred, means that a surplus may result in one year and an overspend the next year. It is therefore prudent to create a reserve to manage this operation over more than one year.
Regen & N'Hoods	Contribution to Stranton Nursery Reserve	40	To contribute towards the works at Tanfield Road Nursery including the expansion and improvement of retail facilities. This will be added to the reserve already created.	Additional external income above budgeted levels.
Regen & N'Hoods	Contribution to Passenger Transport Reserve	45	To manage the risk of future income shortfalls in the developing area of private hire, as part of a strategy for income development and support income generating opportunities in the future.	This is a new service area which is still in its development stage and income this year was higher than anticipated.
<b>Total</b>		<b>325</b>		

# SCRUTINY CO-ORDINATING COMMITTEE

13<sup>th</sup> April, 2012



**Report of:** Chief Finance Officer

**Subject:** QUARTER 3 – CAPITAL PROGRAMME  
MONITORING REPORT 2011/2012

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## SUMMARY

### 1. PURPOSE OF REPORT

- 1.1 To provide details of progress against the Council's 2011/12 Capital budget for the period to 31<sup>st</sup> December, 2011.

### 2. CONSIDERATION OF ISSUES

- 2.1 A separate report has not been prepared for your Committee as a comprehensive report was submitted to Cabinet on 19<sup>th</sup> March, 2012 (**Appendix 1**). This report sets out the key issues to bring to your attention.
- 2.2 In line with previous monitoring reports, the attached report provides and overall picture of progress against the approved 2011/2012 capital programme.

### 3. RECOMMENDATIONS

- 3.1 Members consider the report.

# CABINET REPORT

19<sup>th</sup> March, 2012



**Report of:** Corporate Management Team

**Subject:** QUARTER 3 – CAPITAL PROGRAMME MONITORING  
REPORT 2011/2012

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## SUMMARY

### 1. PURPOSE OF REPORT

- 1.1 To provide details of progress against the Council's 2011/12 Capital budget for the period to 31<sup>st</sup> December 2011.

### 2. SUMMARY OF CONTENTS

- 2.1 The report provides detailed monitoring information for each departmental area up to 31<sup>st</sup> December 2011. In total there are 330 schemes within the Council's capital programme.
- 2.2 The report advises members that the majority of schemes are progressing as planned and provides a detailed commentary on individual departmental capital programmes.

### 3. RELEVANCE TO CABINET

- 3.1 Cabinet has overall responsibility for the monitoring of the Council's budgets.

### 4. TYPE OF DECISION

- 4.1 None.

### 5. DECISION MAKING ROUTE

- 5.1 Cabinet 19<sup>th</sup> March, 2012.

### 6. DECISIONS REQUIRED

- 6.1 It is recommended that Cabinet:
- i) Note the report; and
  - ii) Note portfolio holder approval detailed in paragraph 3.5.

**Report of:** Corporate Management Team

**Subject:** QUARTER 3 – CAPITAL PROGRAMME MONITORING  
REPORT 2011/2012

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**1. PURPOSE OF REPORT**

- 1.1 To inform Cabinet of progress against the Council's 2011/12 Capital budget for the period to 31<sup>st</sup> December 2011.

**2. BACKGROUND**

- 2.1 This report provides details covering the capital programme on a departmental basis.
- 2.2 This report will be submitted to Scrutiny Co-ordinating Committee on 13<sup>th</sup> April 2012.

**3. CAPITAL MONITORING 2011/2012**

- 3.1 Expenditure for all departmental areas is summarised in the table overleaf. The table shows that significant expenditure and resources will be rephased to 2012/13. This is not unusual and reflects the longer lead times for commissioning and implementing capital schemes.

- 3.2 The table also highlights the variances from the capital budget as follows:

- Children's Services – increased cost £0.670m

This issue was addressed in the Medium Term Financial Strategy (MTFS) report approved by Council in February 2012. The reasons for the additional costs and the funding identified to fund these costs are detailed in paragraph 3.8 and 3.9.

- 3.3 Other capital schemes are generally progressing as expected and details by department are shown below.

Department	2011/12 Budget £'000	2011/12 Actual to 31/12/2011 £'000	2011/12 Remaining Expenditure £'000	2012/13 Re-phased Expenditure £'000	2011/12 Variance from budget Adverse/ (Favourable) £'000
Adult & Community Services	1,664	286	1,124	254	0
Children's Services	27,485	16,315	4,417	7,423	670
Chief Executive	189	3	64	122	0
Corporate	2,573	974	582	596	(421)
Regeneration & Neighbourhoods	19,177	5,734	6,638	6,805	0
<b>Total Capital Expenditure</b>	<b>51,088</b>	<b>23,312</b>	<b>12,825</b>	<b>15,200</b>	<b>249</b>

### 3.4 Adult & Community Services

- 3.5 In December 2011 the Council took over the management of Brierton Sports Centre from Dyke House School. IT and telephony infrastructure were provided by the school and now this provision is no longer available. In addition it has been identified that the sports hall floor requires replacement. In February 2012 the Adult & Community Services Portfolio Holder approved a new capital scheme for Brierton Sports Centre Upgrade with costs totalling £0.038m to address these issues. This is funded by an under spend against retention costs for the construction of the Headland Sports Hall.

### 3.6 Children's Services

- 3.7 Expenditure of £7.423m will be re-phased to 2012/13 of which £4.975m relates to the Building Schools for the Future ICT contract which is a five year contract with schools incurring expenditure as and when they join the contract in line with their planned commencement dates. The balance primarily relates to developmental schemes which have not yet been determined, owing to the nature of the works they are likely to occur during the school summer holidays to minimise disruption.
- 3.8 As reported in December the Council secured funding from the previous Government's Primary Capital Programme (PCP) for the first phases of a major investment in primary schools. This funding has enabled major schemes to be undertaken at Rossmere and Jesmond Road schools, which had a total capital budget of £8.4m. The designs for the schools have transferred Building Schools for the Future (BSF) experience into the primary sector and have been well received by the schools in terms of the look and functionality of the buildings and the way that teaching and learning have been transformed. The withdrawal of the PCP funding has left these two projects in isolation in both financial and estate transformation terms
- 3.9 These schemes were innovative and path finding designs. The cost of these schemes has exceeded the available PCP funding and the termination of this grant regime means the Council will not receive any additional funding. Therefore

the MTFS included proposals to meet the additional cost of £0.670m from the following funding sources:

	£'000
• Child and Adult Services revenue contribution. This contribution has been reflected in the forecast revenue outturn.	149
• Reinstatement and release of 'Property Services and Facilities Management' reserve. This reserve was created from the surplus generated by Trading Accounts in previous years and allocated to cover the costs of potential remedial works and / or to protect against income volatility. The overall review of risks and reserves completed in the summer proposed releasing this reserve to help fund the strategic one off costs. It is now proposed this reserve is reinstated and allocated towards the additional PCP costs.	100
• Council Capital Fund (CCF). A number of schemes have cost less than forecast and the existing programme has been reassessed. These measures release funding of £0.421m.	421
	<hr/> 670

### 3.10 Corporate

3.11 Appendix D shows a projected under-spend of £0.421m, this reflects resources identified as a result of the recent CCF review which the MTFS proposed to fund additional costs in the Primary Capital Programme (detailed in Paragraph 3.9).

3.12 A total of £0.596m will be re-phased to 2012/13. This primarily relates to the two schemes to improve the Civic Centre which will not be completed this financial year.

### 3.13 Regeneration & Neighbourhoods

3.14 Schemes totalling £6.805m will be re-phased to 2012/13. The majority relates to grant funding received in advance for Tees Valley Network improvements.

3.15 Quarter 2 monitoring highlighted the funding issue relating to the Housing Market Renewal (HMR). In December the Council received notification that it has been successful in its bid for Transitional Grant Funding of £2m. This funding has been set aside to deal specifically with the Carr/Hopps area in 2012/13. The quarter 2 Capital Monitoring Report highlighted a whole life cost funding gap which has now been addressed in the MTFS approved by Council in February 2012. The 2011/12 budget has been increased to reflect the phasing of expenditure and is funded by the HMR grant.



**3.16 Detailed Financial Information**

3.17 Detailed financial information on the capital programmes for individual departmental areas by Portfolio is provided in **Appendices A - E** to this report as set out below:

- Appendix A - Adult & Community Services
- Appendix B - Children's Services
- Appendix C - Chief Executives
- Appendix D - Corporate
- Appendix E - Regeneration & Neighbourhoods

3.18 The format of the appendices shows details of projected and actual capital expenditure as at 31<sup>st</sup> December 2011 and shows:

- Column A - Scheme Title
- Column B - 2011/12 Budget
- Column C - Actual expenditure to 31<sup>st</sup> December 2011
- Column D - Expenditure remaining in the period January to March 2012
- Column E - Expenditure Rephased into 2012/13
- Column F - Total Expenditure
- Column G - Variance from Budget
- Column H - Type of financing

**4. RECOMMENDATIONS**

4.1 It is recommended that Cabinet:

- i) Note the report; and
- ii) Note portfolio holder approval detailed in paragraph 3.5.

**5. CONTACT OFFICER**

5.1 Chris Little (Chief Finance Officer), Tel: 01429 523003, e-mail:  
[chris.little@hartlepool.gov.uk](mailto:chris.little@hartlepool.gov.uk)

**ADULT & COMMUNITY SERVICES**

**CAPITAL MONITORING REPORT PERIOD ENDING 30th DECEMBER 2011**

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2011/2012 COMMENTS
		B 2011/12 Budget £'000	C 2011/12 Actual as at 30/12/11 £'000	D 2011/12 Expenditure Remaining £'000	E Expenditure Rephased into 2012/13 £'000	F C+D+E Total Expenditure £'000	G F-B 2011/12 Variance from budget £'000	H Type of financing	
	<b>Portfolio: Adult &amp; Public Health</b>								
7234	Chronically Sick & Disabled Adaptations	129	40	89	0	129	0	MIX	
7481	IIM Social Care IT Infrastructure	43	30	13	0	43	0	GRANT	
7578	Lynn Street ATC Demolition	11	0	11	0	11	0	MIX	
7723	Resettlement Capital Works - Campus Re-provisioning	77	0	77	0	77	0	GRANT	
8217	Waverley Terrace Allotments - Composting Toilets	2	0	2	0	2	0	MIX	
8312	Social Care Transformation Capital	169	0	0	169	169	0	GRANT	Funding to be allocated to priorities for improvement by the portfolio holder
8396	New flat purchase	130	0	130	0	130	0	RCCO	
7531	Adult Education - Office Accommodation	49	28	21	0	49	0	MIX	
8429	Adult Ed - Replace IT Equipment	24	13	11	0	24	0	GRANT	
8284	Drug Action Team Tier 4 Accommodation	119	15	104	0	119	0	GRANT	
8427	Warren Rd Kitchen Refurbishment	25	0	25	0	25	0	GRANT	
8428	Havelock Upgrades Phase 2	230	0	165	65	230	0	GRANT	
8423	Waverley Terrace Allotments - Security Fencing	24	0	24	0	24	0	GRANT	
8075	Short Breaks Capital Grants Pool	145	0	145	0	145	0	GRANT	
	<b>Sub-Total</b>	<b>1,177</b>	<b>126</b>	<b>817</b>	<b>234</b>	<b>1,177</b>	<b>0</b>		
	<b>Portfolio: Culture, Leisure &amp; Tourism</b>								
7047 & 8408	Mill House Leisure Centre - Changing Village	39	26	13	0	39	0	MIX	
8084	Mill House Leisure Centre Combined Heating & Power Unit	8	8	0	0	8	0	UCPB	
7853	Owton Manor Community Centre - Replace Boiler	35	0	35	0	35	0	UCPB	
8409	Skateboard Park Project 2	70	0	70	0	70	0	MIX	
7992	Grayfields Sports Junior Pitches	16	9	7	0	16	0	RCCO	
8011	Summerhill CCTV	1	1	0	0	1	0	UCPB	
8095	Central Library - Signage	3	0	3	0	3	0	UCPB	
8104	Rossmere Park - MUGA & Skatepark	171	116	55	0	171	0	MIX	
8216	Seaton Carew Cricket Club	30	0	30	0	30	0	MIX	
8394	Conversion of Throston Community Centre to Community Centre /Library	70	0	50	20	70	0	RCCO	
8418	Summerhill Archaeology Display	3	0	3	0	3	0	MIX	
8419	BMX Track Upgrade	3	0	3	0	3	0	MIX	
8439	Brierton Sports Centre Upgrade	38	0	38	0	38	0	MIX	
	<b>Sub-Total</b>	<b>487</b>	<b>160</b>	<b>307</b>	<b>20</b>	<b>487</b>	<b>0</b>		
	<b>TOTAL</b>	<b>1,664</b>	<b>286</b>	<b>1,124</b>	<b>254</b>	<b>1,664</b>	<b>0</b>		

<b>Key</b>			
RCCO	Revenue Contribution towards Capital	GRANT	Grant Funded
MIX	Combination of Funding Types	CAP REC	Capital Receipt
UCPB	Unsupported Corporate Prudential Borrowing	UDPB	Unsupported Departmental Prudential Borrowing
SCE ®	Supported Capital Expenditure (Revenue)	SPB	Supported Prudential Borrowing

**PORTFOLIO : CHILDREN'S SERVICES****CAPITAL MONITORING REPORT PERIOD ENDING 31st DECEMBER 2011**

Project Code	A  Scheme Title	EXPENDITURE IN CURRENT YEAR							2011/2012 COMMENTS
		B	C	D	E	F	G	H	
		2011/2012 Budget £'000	2011/2012 Actual as at 31/12/11 £'000	2011/2012 Expenditure Remaining £'000	Expenditure Rephased into 2012/13 £'000	C+D+E Total Expenditure £'000	F-B 2011/2012 Variance from budget £'000	Type of financing	
	<b>Portfolio: Children's Services</b>								
7027	Harnessing Technology Grant - Purchase of ICT in Schools	189	162	27	0	189	0	MIX	
7088	Primary Capital Programme - Jesmond Gardens New Build & Rossmere Remodel	3,097	3,194	573	0	3,767	670	GRANT	Further details in respect of the funding of this adverse variance are provided in paragraph 3.8 of the main report
7109	Brierton - Alterations re Dyke House Decant inc Transport Interchange	3	3	0	0	3	0	GRANT	
7125	Clavering - Replace Fence with Security Fence	2	1	1	0	2	0	GRANT	
7125	Golden Flatts - Install Security Fencing	2	0	2	0	2	0	GRANT	
7125	Owton Manor - Install Security Fencing	3	2	1	0	3	0	GRANT	
7126	Greatham - Create Change Facility & Quiet Area	48	48	0	0	48	0	UCPB	
7129	Barnard Grove - Heating & Water Distribution	19	17	0	0	17	(2)	MIX	
7129	Clavering - Heating & Water Distribution	51	52	0	0	52	1	RCCO	
7129	Golden Flatts - Heating Distribution phase 2a	102	111	0	0	111	9	GRANT	
7129	High Tunstall - Heating Distribution Works	26	25	0	0	25	(1)	SCE R	
7129	Manor College - Heating & Water Distribution	246	119	127	0	246	0	MIX	
7129	Rossmere - Heating Distribution	7	0	7	0	7	0	GRANT	
7130	High Tunstall - Heat Source and Equipment	22	21	0	0	21	(1)	SCE R	
7130	Rift House - Heat Source & Equipment (Block D)	22	15	7	0	22	0	GRANT	
7131	Fens Primary School - Improve Ventilation	11	4	7	0	11	0	MIX	
7132	High Tunstall - Swimming Pool Lighting Fittings / Wiring	21	20	0	0	20	(1)	SCE R	
7132	Manor College Lighting / Wiring	212	121	91	0	212	0	MIX	
7133	Manor College Replace Floor & Modify Toilets	39	39	0	0	39	0	GRANT	
7135	Ward Jackson Rewire/distribution boards phase 1	82	64	18	0	82	0	GRANT	
7136	West View Primary School Gas Distribution	257	210	36	0	246	(11)	MIX	
7137	Catcote - Replace Windows and Door Framing	33	25	8	0	33	0	GRANT	
7138	Barnard Grove - Structural Modifications (Blocks A & B)	33	1	32	0	33	0	GRANT	
7139	High Tunstall Replace Sports Hall Roof	116	96	0	0	96	(20)	SCE R	
7142	Barnard Grove- Fire Safety Modifications	8	0	8	0	8	0	GRANT	
7142	Brougham -Fire Safety Modifications	23	0	23	0	23	0	GRANT	
7142	Kingsley Fire Safety Modifications	20	0	20	0	20	0	GRANT	
7142	Lynnfield Fire Safety Modifications	25	0	25	0	25	0	GRANT	
7142	Seaton Carew Nursery Fire Safety Modifications	8	0	8	0	8	0	GRANT	
7142	St Helens Fire Safety Modifications	4	0	4	0	4	0	GRANT	
7142	Stranton Fire Safety Modifications	23	0	23	0	23	0	GRANT	
7143	St Helens Modifications to KS2 Building to provide hygiene area	25	19	6	0	25	0	MIX	
7144	Manor - Modifications to Autistic Spectrum Disorder (ASD) Unit	45	0	45	0	45	0	GRANT	
7384	Devolved Capital - Various Misc Individual School Projects	288	90	48	152	290	2	MIX	
7421	School Travel Plans - Develop Cycle Storage at Schools	35	8	0	27	35	0	MIX	
7437	Playing for Success - Develop New Classroom	1	0	1	0	1	0	GRANT	
7469	Unallocated Children's Centre Capital Works	67	0	0	67	67	0	CAP REC	
7586	City Learning Centre Equipment Purchase	61	57	4	0	61	0	GRANT	
7858	Computers for Pupils	7	0	7	0	7	0	GRANT	
7863	Carlton Outdoor Centre Redevelopment Works	40	33	7	0	40	0	MIX	
7888	Stranton - Purchase & Install CCTV	2	0	0	2	2	0	GRANT	
8005	Grant Payments to Diocese for Hartlepool VA Schools	300	300	0	0	300	0	GRANT	
8056	Eldon Grove - Creation of Additional Teaching Space	681	430	251	0	681	0	UCPB	
8059	Hart - Create Multi-Purpose Studio	126	103	23	0	126	0	GRANT	
8060	Rift House - Annexe 2 Heating	17	0	0	17	17	0	MIX	
8063	West View - Replace Windows	40	36	4	0	40	0	GRANT	
8066	Throston - Replacement of Gas Interlocks	3	3	0	0	3	0	GRANT	
8067	Ward Jackson - Creation of Quiet Room	2	0	2	0	2	0	MIX	
8072	Integrated Children's System Case Management Improvement	37	0	0	37	37	0	MIX	

Project Code	A  Scheme Title	EXPENDITURE IN CURRENT YEAR							2011/2012 COMMENTS
		B	C	D	E	F	G	H	
		2011/2012 Budget £'000	2011/2012 Actual as at 31/12/11 £'000	2011/2012 Expenditure Remaining £'000	Expenditure Rephased into 2012/13 £'000	C+D+E Total Expenditure £'000	F-B 2011/2012 Variance from budget £'000	Type of financing	
8093	Golden Flatts - Establish Nurture Area	10	0	10	0	10	0	GRANT	
8103	Swimming (was Brinkburn Pool - Access and Hoist)	62	1	0	61	62	0	MIX	
8116	Springwell - Covered Link Way	25	20	5	0	25	0	GRANT	
8119	Rift House - Internal Reorganisation	40	40	0	0	40	0	GRANT	
8120	Lynnfield - Improve Teaching Space	108	110	0	0	110	2	GRANT	
8138	BSF- ICT Contract (Purchase of ICT Equipment in Schools)	7,607	831	1,939	4,837	7,607	0	MIX	
8139	BSF - ICT Infrastructure (General)	255	0	117	138	255	0	GRANT	
8139	BSF- Dyke House Remodel	8,680	8,359	321	0	8,680	0	GRANT	
8139	St Hilds - BSF ICT Infrastructure	101	93	8	0	101	0	GRANT	
8139	BSF - ICT Infrastructure (Catcote)	57	36	21	0	57	0	GRANT	
8139	BSF - ICT Infrastructure (English Martyrs)	232	183	49	0	232	0	GRANT	
8139	BSF - ICT Infrastructure (High Tunstall)	155	132	23	0	155	0	GRANT	
8139	BSF - ICT Infrastructure (Manor)	174	144	30	0	174	0	GRANT	
8168	SSN Hindpool Close - Create Community Garden & Play Space	71	64	7	0	71	0	GRANT	
8176	Barnard Grove - Replace Bungalow Floor	14	0	0	14	14	0	MIX	
8179	Catcote - Replace Boiler (11/12)	55	0	55	0	55	0	GRANT	
8184	Hart - Replace Fence	15	0	15	0	15	0	MIX	
8185	Kingsley - Replace Kitchen Windows, Ceiling & Canopy	30	3	27	0	30	0	RCCO	
8186	Kingsley - Replace 1st floor windows	48	20	28	0	48	0	MIX	
8187	Owton Manor - Replace 1st floor windows	9	7	0	0	7	(2)	GRANT	
8188	Rossmere - Replace KS2 Toilets	32	27	0	0	27	(5)	GRANT	
8192	St Helens - Replace Corner Posts	21	3	18	0	21	0	MIX	
8193	Throston - Window replacement	86	69	17	0	86	0	MIX	
8201	Brougham - Improve Internal Access	45	45	0	0	45	0	GRANT	
8202	Grange -Replace Classroom Annexe	550	3	87	460	550	0	GRANT	
8203	Owton Manor - Improve Foundation Stage Outdoor area	54	35	19	0	54	0	GRANT	
8205	Springwell - Create Enterprise area and Cyber Café	74	57	17	0	74	0	GRANT	
8206	St Helens - Primary Interior Remodel	138	108	30	0	138	0	GRANT	
8207	Stranton - Improve Outdoor Learning Area	30	24	6	0	30	0	MIX	
8208	Ward Jackson -Create Foundation Unit	163	123	40	0	163	0	GRANT	
8209	West Park - Improve Reception class toilet area	10	0	0	10	10	0	GRANT	
8218	Youth Service - Purchase Portable MUGA	6	0	0	6	6	0	GRANT	
8281	Catcote - Purchase Temporary Classroom (10/11)	6	6	0	0	6	0	MIX	
8282	Exmoor Grove - Redevelopment/ Change of Use	14	0	0	14	14	0	GRANT	
8287	EDC/PRU - Extension to PRU Reception	2	0	2	0	2	0	GRANT	
8307	Seaton Nursery - Build New Entrance Porch	14	14	0	0	14	0	GRANT	
8316	Lynnfield - Create Office	20	20	0	0	20	0	GRANT	
8388	West View - Upgrade ICT Suite inc Asbestos Removal & Window Replacement	59	59	0	0	59	0	GRANT	
8389	St John Vianney - Mechanical Modifications to Heating & Air - Con	21	21	0	0	21	0	GRANT	
8390	Throston School - Extension to Foundation Stage for Quiet Room	28	0	28	0	28	0	GRANT	
8391	Manor College - Replace Roof Coverings & Insulation	63	56	0	0	56	(7)	GRANT	
8392	High Tunstall - Various Improvement Works to B, C & D Blocks	219	168	51	0	219	0	GRANT	
8414	Barnard Grove - Alterations to Disabled Toilet	8	5	1	0	6	(2)	GRANT	
New	Unallocated - Transformational Schemes (TBA)	1,285	0	0	1,285	1,285	0	MIX	
9004	Funding (Basic Need, Maintenance & RCCO) Currently Unallocated	258	0	0	296	296	38	MIX	This is the net underspend on the above schemes which will be transferred into the Unallocated allocation
	<b>TOTAL</b>	<b>27,485</b>	<b>16,315</b>	<b>4,417</b>	<b>7,423</b>	<b>28,155</b>	<b>670</b>		

**Key**

RCCO Revenue Contribution towards Capital  
MIX Combination of Funding Types  
UCPB Unsupported Corporate Prudential Borrowing  
SCE R Supported Capital Expenditure (Revenue)

GRANT Grant Funded  
CAP REC Capital Receipt  
UDPB Unsupported Departmental Prudential Borrowing  
SPB Supported Prudential Borrowing

**CHIEF EXECUTIVE**

**CAPITAL MONITORING REPORT PERIOD ENDING 31st DECEMBER 2011**

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2011/2012 COMMENTS
		B	C	D	E	F	G	H	
		2011/2012 Budget £'000	2011/2012 Actual as at 31/12/2011 £'000	2011/2012 Expenditure Remaining £'000	Expenditure Rephased into 2012/13 £'000	C+D+E Total Expenditure £'000	F-B 2011/2012 Variance from budget £'000	Type of financing	
	<b>Portfolio: Finance &amp; Procurement</b>								
8292	Corporate Projects	39	0	0	39	39	0	MIX	
7867	City Challenge Burbank / Murray Street	83	0	0	83	83	0	MIX	
	<b>Sub-Total</b>	<b>122</b>	<b>0</b>	<b>0</b>	<b>122</b>	<b>122</b>	<b>0</b>		
	<b>Portfolio: Performance</b>								
7623	Corporate IT Projects	20	0	20	0	20	0	MIX	
8292	Mobile Chip & Pin	20	0	20	0	20	0	MIX	
8292	Contact Server Upgrade	10	0	10	0	10	0	MIX	
8143	New Burdens - Council Tax Demands	10	0	10	0	10	0	MIX	
8157	Northgate - New Server	7	3	4	0	7	0	MIX	
	<b>Sub-Total</b>	<b>67</b>	<b>3</b>	<b>64</b>	<b>0</b>	<b>67</b>	<b>0</b>		
	<b>TOTAL</b>	<b>189</b>	<b>3</b>	<b>64</b>	<b>122</b>	<b>189</b>	<b>0</b>		

<b>Key</b>			
RCCO	Revenue Contribution towards Capital	GRANT	Grant Funded
MIX	Combination of Funding Types	CAP REC	Capital Receipt
UCPB	Unsupported Corporate Prudential Borrowing	UDPB	Unsupported Departmental Prudential Borrowing
SCE ®	Supported Capital Expenditure (Revenue)	SPB	Supported Prudential Borrowing

## CAPITAL MONITORING REPORT PERIOD ENDING 31st DECEMBER 2011

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2011/2012 COMMENTS
		B	C	D	E	F	G	H	
		2011/2012 Budget £'000	2011/2012 Actual as at 31/12/11 £'000	2011/2012 Expenditure Remaining £'000	Expenditure Rephased into 2012/13 £'000	C+D+E Total Expenditure £'000	F-B 2011/2012 Variance from budget £'000	Type of financing	
	<b>Portfolio: Finance &amp; Procurement</b>								
7036	Unallocated Council Capital Fund	219	0	0	0	0	(219)	UCPB	Monies identified to fund additional costs of Primary Capital Programme
7041	Corporate Planned Maintenance Unallocated	132	0	0	0	0	(132)	UCPB	Monies identified to fund additional costs of Primary Capital Programme
7048	Unallocated Health and Safety	40	0	0	0	0	(40)	UCPB	Monies identified to fund additional costs of Primary Capital Programme
7115	Civic Centre Ramp	255	0	175	110	285	30	MIX	Additional funding required part of CCF 12/13 funding request submitted
7117	Civic Centre Access Control System	22	27	5	0	32	10	MIX	
7119	Demolition of Throston Grange Old Peoples Home	2	2	0	0	2	0	CAP REC	
7200	Civic Centre Refurbishment	378	15	13	350	378	0	MIX	
7257	Disabled Adaptations (Various Locations)	114	0	49	0	49	(65)	MIX	Monies identified to fund additional costs of Primary Capital Programme
7503	Boiler Replacement - Sir William Gray House	57	57	0	0	57	0	SPB	
8085	Lynn Street Depot Electrical Distribution	20	13	7	0	20	0	UCPB	
8100	North Cemetery Wall Retaining Wall Structural Repairs	153	153	0	0	153	0	UCPB	
8140	Municipal Buildings - Removal and Rearrange ICT	32	19	0	0	19	(13)	MIX	Monies identified to fund additional costs of Primary Capital Programme
8141	Installation of Electrical Items	1	0	1	0	1	0	MIX	
8142	H&S Replace School Kitchen Equipment	404	271	97	36	404	0	MIX	
8161	Newburn Bridge Industrial Estate Roof Replacement	21	17	4	0	21	0	UCPB	
8162	Corporate Planned Maintenance - Footpath Replacement - Burn Valley	10	0	10	0	10	0	UCPB	
8164	Corporate Planned Maintenance - Replace Heating - Seaton Carew	1	1	0	0	1	0	UCPB	
8165	Corporate Planned Maintenance - Replace Boilers - Stranton Nursery	2	2	0	0	2	0	UCPB	
8166	Corporate Planned Maintenance - Replace Boiler - Historic Quay	39	33	6	0	39	0	MIX	
8167	Disabled Adaptations - Automatic Entry Doors - Bevan House	14	14	0	0	14	0	UCPB	
	Corporate Planned Maintenance - Footpath Replacement - Grayfields								
8171		16	0	16	0	16	0	UCPB	
8214	Building Management System Replacement	12	12	0	0	12	0	UCPB	
8215	Lynn Street Depot Roof Replacement	67	65	2	0	67	0	UCPB	
8219	Sale of Jesmond Rd School	4	4	0	0	4	0	CAP REC	
8289	Stranton Nursery - Create Café	75	51	24	0	75	0	UCPB	
8290	Renew Changing Area Roof - Mill House	75	75	0	0	75	0	UCPB	
8291	Youth Offending Office Alterations	2	2	0	0	2	0	CAP REC	
8293	Removal of Offices - Civic Centre	1	1	0	0	1	0	CAP REC	
8295	SWG External Redecoration	35	35	0	0	35	0	MIX	
8310	Historic Quay Changing Facility	6	2	4	0	6	0	MIX	
8317	Replace Mill House Boiler	165	0	65	100	165	0	MIX	
8318	Roof Replacement Registrars	20	20	0	0	20	0	UCPB	
8319	Boiler Replacement - Borough Hall	14	14	0	0	14	0	UCPB	
8320	Sports Hall Lighting Upgrade	14	12	2	0	14	0	UCPB	
8321	Boiler Replacement - Warren Road	35	0	35	0	35	0	UCPB	
8400	Invest to Save - 114/169 Lighting Detectors	7	0	7	0	7	0	UCPB	
8401	Invest to Save - 207/32 Voltage Optimisation	15	18	0	0	18	3	UCPB	
8402	Invest to Save - 400/20 Lighting Upgrade	14	0	14	0	14	0	UCPB	
8403	Invest to Save - 503/32 Voltage Optimisation	8	13	0	0	13	5	UCPB	
8405	Tarmac Replacement	11	0	11	0	11	0	MIX	
8406	Throston Library - DDA Toilets	31	4	27	0	31	0	MIX	
8407	Tarmac Resurfacing	5	0	5	0	5	0	MIX	
8415	Brinkburn Pool Demolition	25	22	3	0	25	0	CAP REC	
	<b>TOTAL</b>	<b>2,573</b>	<b>974</b>	<b>582</b>	<b>596</b>	<b>2,152</b>	<b>(421)</b>		

## Key

RCCO Revenue Contribution towards Capital  
MIX Combination of Funding Types  
UCPB Unsupported Corporate Prudential Borrowing  
SCE ® Supported Capital Expenditure (Revenue)

GRANT Grant Funded  
CAP REC Capital Receipt  
UDPB Unsupported Departmental Prudential Borrowing  
SPB Supported Prudential Borrowing

## CAPITAL MONITORING REPORT PERIOD ENDING 31st DECEMBER 2011

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2011/2012 COMMENTS
		B	C	D	E	F	G	H	
		2011/2012 Budget £'000	2011/2012 Actual as at 31/12/11 £'000	2011/2012 Expenditure Remaining £'000	Expenditure Rephased into 2012/13 £'000	C+D+E Total Expenditure £'000	F-B 2011/2012 Variance from budget £'000	Type of financing	
	<b>Portfolio: Adult's &amp; Public Health Services</b>								
8327	Purchase of Focus Site Lynn Street	460	0	0	460	460	0	CAP REC	This budget has been rephased as work is expected to commence late March following receipt of planning approval.  The rephased expenditure is in line with the timing of grant funding being approved.
8393	Stranton Cemetery Cremators	50	0	0	50	50	0	RCCO	
8417	Community Spaces Grant	100	0	6	94	100	0	GRANT	
	<b>Sub-Total</b>	<b>610</b>	<b>0</b>	<b>6</b>	<b>604</b>	<b>610</b>	<b>0</b>		
	<b>Portfolio: Culture, Leisure and Tourism</b>								
7110	Play Builder Project (Lanark Road)	6	6	0	0	6	0	GRANT	Government grant cuts resulted in the scaling back of equipment purchase for individual schemes. The unspent element will be used to acquire additional equipment for existing projects in line with original plans where possible.
7110	Play Builder - General	55	7	0	89	96	41	GRANT	
7375	Countryside Development Works	14	0	0	14	14	0	CORP RES	
7382	Greatham Play Area equipment	9	0	0	9	9	0	CORP RES	
7844	Develop Multi Use Games Area	9	1	0	8	9	0	GRANT	
7990	WJP Bandstand Shutters	4	0	0	4	4	0	GRANT	
8296	Rossmere Park Playbuilder Year 2	77	7	70	2	79	2	GRANT	
8297	Seaton Sea Front Playbuilder Year 2	42	30	0	0	30	(12)	GRANT	
8298	Coronation Drive Front Playbuilder Year 2	42	36	0	1	37	(5)	GRANT	
8299	Seaton 3 Playbuilder Year 2	42	1	78	2	81	39	GRANT	
8300	Summerhill Playbuilder Year 2	43	26	0	0	26	(17)	GRANT	
8301	Elwick Village Playbuilder Year 2	43	26	0	0	26	(17)	GRANT	
8302	Ward Jackson Park Playbuilder Year 2	53	38	0	0	38	(15)	GRANT	
8303	Brougham Playbuilder Year 2	15	15	0	0	15	0	GRANT	
8304	Phoenix Centre Playbuilder Year 2	16	0	0	0	0	(16)	GRANT	
	<b>Sub-Total</b>	<b>470</b>	<b>193</b>	<b>148</b>	<b>129</b>	<b>470</b>	<b>0</b>		
	<b>Portfolio: Community Safety and Planning</b>								
7878	Community Safety CCTV Upgrade	37	5	0	32	37	0	UCPB	
	<b>Sub-Total</b>	<b>37</b>	<b>5</b>	<b>0</b>	<b>32</b>	<b>37</b>	<b>0</b>		
	<b>Portfolio: Finance and Procurement</b>								
7466	DSO Vehicle Purchase	1,433	517	705	211	1,433	0	UDPB	The rephased budget resulted from the reduction in vehicle procurement as future needs were assessed in the light of reductions to the Council's overall budget.
8215	109/22 Lynn Street Depot Work Shops Replace Roof	50	35	15	0	50	0	UCPB	
8425	PV Cells	380	0	380	0	380	0	UDPB	
	<b>Sub-Total</b>	<b>1,863</b>	<b>552</b>	<b>1,100</b>	<b>211</b>	<b>1,863</b>	<b>0</b>		
	<b>Portfolio: Housing and Transition</b>								
7218	Mandatory Disabled Facilities Grants	866	491	275	100	866	0	MIX	The rephased element is the amount expected to be unspent based on current activity. The backlog in this area has now been eliminated.
7219	Minor Works Grants	165	3	112	50	165	0	GRANT	
7220	Discretionary Renovations Grants	188	188	0	0	188	0	GRANT	
7230	Housing Market Renewal	4,865	1,015	3,476	374	4,865	0	MIX	The pressures on this scheme resulting from the withdrawal of government grant has been addressed as part of the Medium Term Financial Strategy report which was presented to Cabinet in October and is yet to be approved as part of next years budget.
7530	Developers Contribution Fund	282	10	0	272	282	0	GRANT	This budget consists of developer contributions which will be used to fund future planned projects yet to be approved.
8106	Council Housing	20	0	0	20	20	0	UDPB	
8170	CCF Voluntary Sector Premises Pool	4	4	0	0	4	0	GRANT	

Project Code	A  Scheme Title	EXPENDITURE IN CURRENT YEAR							2011/2012 COMMENTS
		B	C	D	E	F	G	H	
		2011/2012 Budget £'000	2011/2012 Actual as at 31/12/11 £'000	2011/2012 Expenditure Remaining £'000	Expenditure Rephased into 2012/13 £'000	C+D+E Total Expenditure £'000	F-B 2011/2012 Variance from budget £'000	Type of financing	
8210	CCF Key Vacant Buildings Grant Scheme	199	28	89	82	199	0	GRANT	The majority of this budget is expected to be spent next year because of the lead in time required to implement the scheme as well as process and approve applications. It is envisaged that this budget will be used in the second quarter of 2012/13 as part of a planned phased use of time limited funding allocated to Housing Hartlepool by the HCA.
8326	Baden Street	178	0	25	153	178	0	MIX	
8387	Empty Property Improvement Scheme	248	0	0	248	248	0	MIX	
	Sub-Total	7,015	1,739	3,977	1,299	7,015	0		
	Portfolio: Regeneration and Economic Development and Skills								
7895	Industrial & Commercial Business Grants	54	9	45	0	54	0	UCPB	The MTFS has recommended that this scheme be put on hold for a year.
7897	Regeneration Match Funding	393	34	0	359	393	0	UCPB	
	Sub-Total	447	43	45	359	447	0		
	Portfolio: Transport & Neighbourhoods								
7084	Camera Partnership	12	8	0	4	12	0	GRANT	
7206	Social Lighting Programme	1	0	1	0	1	0	SPB	
7207	Car Park Security/CCTV	154	134	20	0	154	0	LTP GRANT	
7222	Minor Works - North Area	174	153	14	7	174	0	MIX	
7223	Minor Works - South Area	93	0	55	38	93	0	MIX	
7224	Minor Works - Central Area	92	44	26	21	91	(1)	MIX	
7236	Bus Shelter Improvements	19	18	0	0	18	(1)	MIX	
7237	Cycling-Cycle Routes General	25	0	25	0	25	0	MIX	
7240	Hartlepool Transport Interchange	17	0	17	0	17	0	GRANT MIX	
7242	Other Street Lighting Imps	95	70	25	0	95	0	MIX	
7244	Travel Plans	28	7	21	0	28	0	SPB	
7245	Cycle Parking	15	0	15	0	15	0	SPB	
7250	Sustainable Travel Awareness	10	0	0	10	10	0	LTP GRANT	
7251	LTP-Public Transport CCTV	9	0	9	0	9	0	SPB	
7252	Safer Streets Initiative	23	23	0	0	23	0	SPB	
7272	Wheely Bin Purchase	48	48	0	0	48	0	UDPB	
7499	Contaminated Land-Lithgo Close	41	3	38	0	41	0	CORP RES	
7508	Anhydrite Mine - Derelict Land Future Monitoring	151	25	0	125	150	(1)	MIX	
7541	LTP-Safer Routes to Schools	106	9	48	50	107	1	LTP GRANT	
7542	LTP-Parking Lay-bys	8	8	0	0	8	0	LTP GRANT	
7544	LTP-Shop-Mobility	20	0	0	20	20	0	LTP GRANT	
7545	LTP-Motorcycle Training	21	21	0	0	21	0	LTP GRANT	
7546	LTP-Road Safety Education & Training	26	1	25	0	26	0	LTP GRANT	
7549	LTP-Other Bridge Schemes	149	32	17	100	149	0	LTP GRANT	
7580	Highways Remedial Works - Marina	4	0	0	4	4	0	GRANT	
7581	Tees Valley Boundary Signs	3	0	0	0	0	(3)	LTP GRANT	
7644	LTP - School Travel Plans	10	1	9	0	10	0	LTP GRANT	
7645	LTP - General	235	2	158	0	160	(75)	LTP GRANT	This budget is the unallocated element of the LTP grant and is used to fund variations from original estimates for schemes. The favourable variance represents the amount allocated to various LTP schemes.
7707	Highways Maintenance Other Schemes (non-LTP)	40	31	9	0	40	0	UCPB	
7734	Hart Lane/Wilt Way Junction Improvements	204	153	21	30	204	0	SPB	
7821	Waste Performance Efficiency Grant	91	4	0	87	91	0	GRANT	This funding is being carried forward to contribute towards major improvements to the Household Recycling Centre which will form the basis of a proposal to be reported to member in 2012/13.
7835	Primary Health Care Centre-Park Road-Section 278	3	3	0	0	3	0	GRANT	
7852	Highway Improvements - TESCO Section 106 Funding	313	37	0	276	313	0	CORP RES	Funding received from Tesco which will be used to fund a scheme yet to be determined.
7891	Strategy Study-Seaton Carew	29	19	0	10	29	0	GRANT	
7892	Strategy Study-Town Wall	24	12	12	0	24	0	GRANT	
7896	BEC Toilet & Shower facilities	6	6	0	0	6	0	UCPB	
7899	Coast Protection	1	0	0	0	0	(1)	UDPB	
7956	LTP-Cycle Route Signage	13	0	13	0	13	0	LTP GRANT	
7959	LTP-Other Walking Schemes	16	2	14	0	16	0	LTP GRANT	
7961	LTP-School 20mph Zones	20	2	10	8	20	0	LTP GRANT	
7965	LTP-HM-Catcote Turning Circle Reconstruction	4	0	0	0	0	(4)	LTP GRANT	
7972	Other Traffic Management Schemes	45	45	0	0	45	0	LTP GRANT	



Project Code	A  Scheme Title	EXPENDITURE IN CURRENT YEAR							2011/2012 COMMENTS
		B	C	D	E	F	G	H	
		2011/2012 Budget £'000	2011/2012 Actual as at 31/12/11 £'000	2011/2012 Expenditure Remaining £'000	Expenditure Rephased into 2012/13 £'000	C+D+E Total Expenditure £'000	F-B 2011/2012 Variance from budget £'000	Type of financing	
8006	Access Road to Briarfields	20	0	0	20	20	0	CORP RES	
8015	Tesco - Section 278 Fund	39	1	0	38	39	0	MIX	
8034	Resurfacing - Outside Civic Centre	16	0	0	0	0	(16)	LTP GRANT	
8037	Resurfacing - Catcote Rd - Oxford Rd-Marlowe Rd	161	167	0	0	167	6	LTP GRANT	
8081	Non Adopted Highway Areas	17	0	17	0	17	0	MIX	
8123	Review of Strategy Study North Sands to Newburn Bridge	320	197	123	0	320	0	LTP GRANT	
8124	Headland Walls Phase 1 Model Study	23	23	0	0	23	0	EA GRANT	
8154	Surface Water	19	3	16	0	19	0	EA GRANT	
8241	Gray Street Resurfacing	3	0	0	0	0	(3)	LTP GRANT	
8243	Hurworth Street-Raby Road to No 3	3	0	0	0	0	(3)	LTP GRANT	
8268	Purvis Place-Miers Ave to Garside Drive	8	8	0	0	8	0	GRANT	
8269	Warren Road-Winterbottom to West View	23	23	0	0	23	0	GRANT	
8270	Catcote Road-Callander to Campbell	8	8	0	0	8	0	GRANT	
8271	Rossmere Way-O/s Youth Club	2	2	0	0	2	0	GRANT	
8272	Sandringham Rd-No 4 to Murray St	4	5	0	0	5	1	GRANT	
8273	Albert Street-Various	4	4	0	0	4	0	GRANT	
8274	Burbank Street-Clark Street to Thompson Street	5	5	0	0	5	0	GRANT	
8275	Green Street -Full length Resurfacing	5	0	0	5	5	0	GRANT	
8276	Windermere Rd-Ashgrove to Bakers	2	1	0	1	2	0	GRANT	
8277	Marlowe Road-Various	5	0	0	5	5	0	GRANT	
8280	Upgrade Sea Defences Seaton	4	4	0	0	4	0	EA GRANT	
8286	Alleygates - Night Time Economy	24	20	0	4	24	0	GRANT	
8306	Kitchen Equipment	28	0	0	28	28	0	GRANT	
8309	Chester Road	10	6	4	0	10	0	GRANT	
8311	Seaton Carew - Northern Management Unit Ph1 Construction	387	387	0	0	387	0	EA GRANT	
8314	TVBNI - Tees Valley Bus Network Improvement Scheme (Unallocated)	3,117	4	155	3,153	3,312	195	DFT GRANT	The rephased expenditure relates to funding earmarked for schemes planned in 2012-13. The variance shown offsets the favourable variances achieved on individual TVBNI schemes.
8315	Seaton Carew -Northern Management Unit Ph2 Construction	80	17	53	10	80	0	EA GRANT	
8328	Carriageway-Dalton Village Road Part 1	12	14	0	0	14	2	LTP GRANT	
8329	Carriageway-Dalton Village Road Part 2	17	19	0	0	19	2	LTP GRANT	
8330	Carriageway-Seaton Lane Part 1	24	27	0	0	27	3	LTP GRANT	
8331	Carriageway-Seaton Lane Part 2	36	36	0	0	36	0	LTP GRANT	
8332	Carriageway-Owton Manor Lane Part 1	29	47	0	0	47	18	LTP GRANT	
8333	Carriageway-Owton Manor Lane Part 2	24	27	0	0	27	3	LTP GRANT	
8334	Carriageway-Owton Lodge Roundabout	21	28	0	0	28	7	LTP GRANT	
8335	Carriageway-Station Lane Part 1	23	29	0	0	29	6	LTP GRANT	
8336	Carriageway-Station Lane Part 2	19	22	0	0	22	3	LTP GRANT	
8337	Carriageway-Oxford Road Part 1	28	41	0	0	41	13	LTP GRANT	
8338	Carriageway-Oxford Road Part 2	33	45	0	0	45	12	LTP GRANT	
8339	Carriageway-Dent Street	7	1	6	0	7	0	LTP GRANT	
8340	Carriageway-Cameron Road	10	11	0	0	11	1	LTP GRANT	
8341	Carriageway-Alma Street	7	8	0	0	8	1	LTP GRANT	
8342	Carriageway-Grove Close	3	4	0	0	4	1	LTP GRANT	
8343	Carriageway-Egerton Road	11	19	0	0	19	8	LTP GRANT	
8344	Carriageway-Everett Street	17	21	0	0	21	4	LTP GRANT	
8345	Carriageway-Hereford Street	5	7	0	0	7	2	LTP GRANT	
8346	Carriageway-Eden Street	2	3	0	0	3	1	LTP GRANT	
8347	Carriageway-Moreland Street	12	14	0	0	14	2	LTP GRANT	
8348	Carriageway-Penrith Street	4	6	0	0	6	2	LTP GRANT	
8349	Carriageway-Challoner Road	29	38	0	0	38	9	LTP GRANT	
8350	Carriageway-Beacon/Alliance/Trinity Street	11	12	0	0	12	1	LTP GRANT	
8351	Carriageway-Burke Place	5	6	0	0	6	1	LTP GRANT	
8352	Carriageway-Sunningdale Grove	5	5	0	0	5	0	LTP GRANT	
8361	TVBNI - York Road - Burn Valley H1ab	235	167	68	0	235	0	DFT GRANT	This scheme has been cancelled with funding being returned to the unallocated TVBNI pot.
8363	TVBNI - York Road - Park Road H1d	239	0	0	0	0	(239)	DFT GRANT	
8364	TVBNI - York Road - Victoria Road H1e	5	0	0	5	5	0	DFT GRANT	
8365	TVBNI - Victoria Road H1f	5	0	5	0	5	0	DFT GRANT	
8366	TVBNI - Marina Gateway H7	41	41	0	0	41	0	DFT GRANT	
8367	TVBNI - Burn Valley H9	10	10	0	0	10	0	DFT GRANT	
8368	TVBNI - Oxford Road/Stockton H10	140	140	0	0	140	0	DFT GRANT	

Project Code	A  Scheme Title	EXPENDITURE IN CURRENT YEAR							2011/2012 COMMENTS
		B	C	D	E	F	G	H	
		2011/2012 Budget £'000	2011/2012 Actual as at 31/12/11 £'000	2011/2012 Expenditure Remaining £'000	Expenditure Rephased into 2012/13 £'000	C+D+E Total Expenditure £'000	F-B 2011/2012 Variance from budget £'000	Type of financing	
8369	TVBNI - Oxford Road H11	4	0	0	0	0	(4)	DFT GRANT	
8370	TVBNI - Oxford Road/Catcote H12	89	101	0	0	101	12	DFT GRANT	
8371	TVBNI - Brenda Road H14	9	0	0	0	0	(9)	DFT GRANT	
8373	TVBNI - Throston Grange H19	6	6	0	0	6	0	DFT GRANT	
8374	TVBNI - Wiltshire Way H20	10	0	10	0	10	0	DFT GRANT	
8375	TVBNI - Winterbottom Way H21	18	18	0	0	18	0	DFT GRANT	
8376	TVBNI - Clavering Parking H22	101	64	37	0	101	0	DFT GRANT	
8377	TVBNI - King Oswy Drive H30	5	4	0	0	4	(1)	DFT GRANT	
8378	TVBNI - Northgate H32	102	0	0	102	102	0	DFT GRANT	Scheme now expected to start in 2012/13 as a result of objections during the consultation process.
8379	TVBNI - Wynyard Road H33	3	24	0	0	24	21	DFT GRANT	
8380	TVBNI - Owton Manor Lane H34	273	133	140	0	273	0	DFT GRANT	
8381	TVBNI - Catcote Road H35b	20	7	13	0	20	0	DFT GRANT	
8382	TVBNI - Elizabeth Way H36	26	26	0	0	26	0	DFT GRANT	
8383	TVBNI - Catcote Road H37	52	75	0	0	75	23	DFT GRANT	
8384	TVBNI - Raby Road H44	2	2	0	0	2	0	DFT GRANT	
8385	TVBNI - Catcote Road H45	6	6	0	0	6	0	DFT GRANT	
8397	20's Plenty LTP Allocation	50	1	49	0	50	0	LTP GRANT	
8398	LTP Road Crossings LTP Allocation	15	0	15	0	15	0	LTP GRANT	
8399	LTP White Lining Structural Maintenance	14	4	10	0	14	0	LTP GRANT	
8410	Park Rd Phase 1	39	39	0	0	39	0	LTP GRANT	
8411	Millpool Close	23	23	0	0	23	0	LTP GRANT	
8413	Easington Rd-relay and level kerbs	15	15	0	0	15	0	LTP GRANT	
8420	TVBNI Bus Stop Improvements	44	0	34	10	44	0	DFT GRANT	
8421	TVBNI Hart Lane Raby Road H15	5	0	5	0	5	0	DFT GRANT	
	<b>Sub-Total</b>	<b>8,735</b>	<b>3,202</b>	<b>1,362</b>	<b>4,171</b>	<b>8,735</b>	<b>0</b>		
	<b>TOTAL</b>	<b>19,177</b>	<b>5,734</b>	<b>6,638</b>	<b>6,805</b>	<b>19,177</b>	<b>0</b>		

**Key**

RCCO Revenue Contribution towards Capital  
MIX Combination of Funding Types  
UCPB Unsupported Corporate Prudential Borrowing  
SCE ® Supported Capital Expenditure (Revenue)

GRANT Grant Funded  
CAP REC Capital Receipt  
UDPB Unsupported Departmental Prudential Borrowing  
SPB Supported Prudential Borrowing

## SCRUTINY CO-ORDINATING COMMITTEE

13 April 2012



**Report of:** Assistant Chief Executive

**Subject:** MEDIUM TERM FINANCIAL STRATEGY -  
COLLABORATION

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### 1. PURPOSE OF REPORT

- 1.1 To bring to the attention of the Scrutiny Co-ordinating Committee a work programme, and plan, which is designed to enable the exploration of future collaborative working opportunities.

### 2. BACKGROUND INFORMATION

- 2.1 Cabinet on 7 November 2011 considered a report in relation to the opportunity to progress a collaborative working programme. A further report providing a detailed work programme and plan was requested and went on to be considered by Cabinet on the 5 March 2012.
- 2.2 Contained within the report were details of:-
- i) The key milestones and currently identified decision points;
  - ii) Arrangements developed to manage the overall programme and associated work; and
  - iii) Any further and related work which would be undertaken in the context of collaboration.
- 2.3 In accordance with the wishes of Cabinet, a copy of the report considered by on the 5 March is attached at **Appendix A** for consideration by the Scrutiny Co-ordinating Committee. To assist the Committee, and answer any questions Members may have, invitations have been extended to the Acting Chief Executive, Assistant Chief Executive and the Mayor to attend today's meeting.
- 2.4 In considering the report at the Cabinet meeting it was accepted that the programme work is still evolving and that there is a need to ensure that elected members are informed of, and involved in, the development of the programme and the consideration of options as they arise.
- 2.5 As part of these ongoing considerations and report to Cabinet on the 5<sup>th</sup> March 2012 a number of areas are currently being considered with a view to ensuring that the requirements in 2.4 above are met and these include

seminars / meetings to be held with elected members in respect of the Collaboration programme and the emerging options and the potential to align the consideration of options to the work programmes for the appropriate scrutiny Forums for the 2013/14 municipal year.

### **3. RECOMMENDATIONS**

- 3.1 That the Scrutiny Co-ordinating Committee considers the report and seeks clarification, where required, on any relevant issues from the Acting Chief Executive, Assistant Chief Executive and Mayor.

**Contact Officer:- Andrew Atkin – Assistant Chief Executive**  
Tel: 01429 523003  
Email: Andrew.Atkin@hartlepool.gov.uk

### **BACKGROUND PAPERS**

The following background paper was used in the preparation of this report:-

- (i) Medium Term Financial Strategy – Collaboration; Cabinet – 5 March 2012

# CABINET REPORT

5<sup>th</sup> March 2012



**Report of:** Acting Chief Executive

**Subject:** MEDIUM TERM FINANCIAL STRATEGY -  
COLLABORATION

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## SUMMARY

### 1. PURPOSE OF REPORT

This report is based on the following recommendation to Cabinet which was agreed at the meeting on 7<sup>th</sup> November 2011.

“That Cabinet receive for consideration a more detailed work programme and plan (assuming agreement to the other recommendations in this report)”

### 2. SUMMARY OF CONTENTS

The report encompasses the previous considerations of Cabinet and provides, as required, an overview of the phased approach to the delivery of the programme, the associated draft milestones and currently identified decision points for cabinet, the arrangements which have been developed to manage the overall programme and associated work and any further and related work which is to be undertaken in the context of collaboration.

### 3. RELEVANCE TO CABINET

The report relates to a previous decision of Cabinet.

### 4. TYPE OF DECISION

Non Key

### 5. DECISION MAKING ROUTE

Cabinet 5<sup>th</sup> March 2012

### 6. DECISION(S) REQUIRED

Cabinet to note the report, proposed draft milestones and currently identified decision points for Cabinet and associated arrangements, with any comments Cabinet may wish to make.

**Report of:** Acting Chief Executive

**Subject:** Medium Term Financial Strategy - Collaboration

## 1.0 PURPOSE OF REPORT

- 1.1 This report is based on the following recommendation to Cabinet which was agreed at the meeting on 7<sup>th</sup> November 2011.

“That Cabinet receive for consideration a more detailed work programme and plan (assuming agreement to the other recommendations in this report)”

## 2.0 BACKGROUND

- 2.1 The collaboration programme to be undertaken, which Cabinet agreed to progress subject to review and further decision on specific options, requires governance and management at both a programme level and in respect of the required activity of the authority to meet the overall timescales and milestones which are determined for this programme.
- 2.2 It is important at this stage to reemphasise the design (and subsequent evaluation) criteria for each phase should be as follows;
- Each Local authority will retain their individual identity and sovereignty with clear accountability
  - That phased solutions are capable of operating as part of separate or merged organisations and are scalable to allow for additional benefits from other participants
  - Collaboration must deliver demonstrable additional benefits to working separately
- 2.3 The report to Cabinet on 7<sup>th</sup> November also identified, from the initial feasibility work which had been undertaken and assessment, at that stage, of the potential financial benefits to the participating authorities (shown in the table below). The recommendations Cabinet considered and agreed at this meeting provided the basis to progress these to the next stage in line with a phased plan.

Service Cluster	Combined Net Budget	% of Total Net Budget	Potential Cost Saving Range		Potential Saving as %	
			Min	Max	Min	Max
Strategic Management	3,572,448	2%	1,100,000	1,600,000	30.8%	44.8%
Children & Young People & Adult Services	81,123,000	52%	1,640,000	1,950,000	2.0%	2.4%
Corporate Services	22,881,693	15%	1,630,000	2,820,000	7.1%	12.3%
Culture & Leisure	8,148,010	5%	200,000	250,000	2.5%	3.1%
Environment	22,999,871	15%	780,000	1,560,000	3.4%	6.8%
Regeneration, Regulatory, Planning & Infrastructure	9,243,569	6%	30,000	180,000	0.3%	1.9%
Out of scope expenditure	8,529,455	5%				
<b>Totals</b>	<b>156,498,046</b>	<b>100%</b>	<b>5,380,000</b>	<b>8,360,000</b>	<b>3.4%</b>	<b>5.3%</b>

- 2.4 It was the intention of the programme of work, when agreed by Cabinet, that in the first instance it would be limited, though not exclusively to the exploration of the potential for collaboration between Hartlepool and Darlington Councils but with the potential to be scalable and to include other organisations. As part of these considerations discussions have been ongoing with a number of authorities and the scope of the feasibility work has been extended in certain areas, and at this stage, to include Redcar and Cleveland council (this is covered in more detail below).

### 3.0 OVERALL PROGRAMME

- 3.1 The programme will form part of the arrangements which the authority will have in place to address the requirements of the Medium Term Financial Strategy (MTFS) and as such a number of the disciplines which have been put in place around previous savings programmes over the last 3 years can be adapted to meet these needs, but in the context of this programme having some requirements which are significantly different from that of previous programmes. The programme will not be the only component part of the plans to address the MTFS and further information will be provided on this when initial considerations have concluded.
- 3.2 The overall programme of work in respect of collaboration is phased in line with the decision of Cabinet on 7<sup>th</sup> November 2011. The phasing outlined in this report was as follows and is the basis for the programme;

#### 3.3 Phase 1

- 3.3.1 It was agreed in Cabinet on 7<sup>th</sup> November 2011 that;
- “The development of a detailed business case for collaboration in respect of Child and Adult services” be progressed prior reporting to Cabinet for a decision.
- 3.3.2 In the original Cabinet report it was identified that the work which had been undertaken to date had identified potential savings in the region of £1.6m to £1.9m shared between the two organisations although this was to be reviewed as part of the development of the business case. The outline timescales for this are shown in the overall timescale in **Appendix 1** to the report.
- 3.3.3 As part of the consideration of the potential scalability of the collaboration options discussions, mentioned previously, have been ongoing with a number of authorities. As part of these discussions Redcar and Cleveland Council have committed to participate in the development of the business case in respect of Child and Adult services and have commissioned work to bring them to the same point in respect of benchmarking and initial data analysis to enable them to form part of the development of this business case.
- 3.3.4 The first stage in this process has been the development of a Project Initiation Document (PID) to establish the scope, timescales and overall management of the programme. This is aligned to the principles agreed in the Cabinet report of 7<sup>th</sup> November 2011 including key reporting and decision making milestones for elected members in the respective authorities involved. The timescales included in this report are directly based on those from the PID.

3.3.5 It was agreed in Cabinet on 7<sup>th</sup> November 2011 that

“A more detailed business case an option in respect of the development of a Cultural trust be progressed and reported to Cabinet for decision”

3.3.6 As part of the consideration of options in respect of Cultural Trusts consideration of this is being undertaken on a number of related fronts which include a Working group established by Council which has met in January and February of 2012 for the consideration of the options and potential and possible models prior to consideration by Cabinet. A separate report is on this agenda on this matter. The outline timescales for this are shown in **Appendix 1** to the report.

### 3.4 Phase 2

3.4.1 Essentially phase two will to a degree be running parallel to Phase 1 activity as there are a range of interdependencies and links between the various elements of work.

3.4.2 As part of the consideration of options included in phase 1 above there are a range of potential issues and models to be considered, in conjunction with a number of technical considerations in respect of Legal, Financial, Human Resources and ICT to be accounted for. In addition it is necessary to start the consideration of the shape, form and function of Corporate services as changes in models of delivery for front line services may give rise to potential or required changes in the services that support them.

3.4.3 It was agreed in Cabinet on 7<sup>th</sup> November 2011 that :

“... officers undertake development work in respect of the financial, Human Resource and legal and technical issues to be reported to Cabinet for consideration and decision prior to the potential implementation of any completed business case”

3.4.4 The first stage in this process is the development of a Project Initiation Document (PID) to establish the scope, timescales and overall management of the programme. This has commenced but it is at a later stage than the work undertaken in Child and Adults services as the initial report agreed by Cabinet identified that it would be, but it will be aligned to the principles agreed in the Cabinet report of 7<sup>th</sup> November 2011, including key reporting and decision making milestones for elected members in the respective authorities involved. The timescales included in this report are linked to the timescales in the Child and Adults element of this report but will follow on from these to allow implications on these services, based on any decisions, to be taken into account.

### 3.5 Phase 3

3.5.1 Whilst not formally a third phase of the programme in so much as it does not necessarily follow the other two elements of the programme in terms of scheduling or timescales Cabinet agreed the following at the meeting of 7<sup>th</sup> November 2011.



“That Hartlepool review the work being undertaken by Darlington in respect of the options available for environmental services, building services, highways in terms of efficiency and alternative models of delivery and receive a report back on options prior to the consideration of more detailed Business cases”

- 3.5.2 It was identified in the report to Cabinet that Darlington Council were considering a range of options in respect of what they term “Place Based” services (as outlined in the recommendation above).
- 3.5.3 Darlington’s review of its Place services is likely to be complete by April 2012. As a result the Council will examine Darlington’s proposals to ascertain if, and how, we may either collaborate or learn from the model approved.
- 3.5.4 It is anticipated that this work will commence in April 2012 and will be completed by March 2013 on the same basis as the other services outlined in 2.7.1

### 3.6 Phase 4

- 3.6.1 There were no timescales agreed as part of the report to Cabinet on 7<sup>th</sup> November in respect of Regeneration, Policy, Planning and Infrastructure although it was noted that any smaller scale potential opportunities would be reviewed and identified for Cabinet should they arise. It should be noted however that this area of operation will require reconsideration in the light of any conclusions from the other phases of work as they progress and will be kept under review in the context of new and emerging opportunities.
- 3.6.2 It is envisaged that the timescale for Regeneration, Policy, Planning and Infrastructure will follow the model outlined above in 3.5.4

### 3.7 Summary

- 3.7.1 In summary the key milestones for Cabinet are as follows

		Child and Adults	Culture Trusts	Corporate Services	Place	Regen
2012	Mar		Decision on whether to proceed to Business Case			
	Apr				Review of Darlington's proposals with and further options to be considered	
	May					
	June	High Level options consideration / decision	Business case for consideration / decision			
	Jul		Implementation process *			
	Aug					
	Sept					
	Oct	Business case for consideration / decision		High Level options consideration / decision		
	Nov	Implementation *				
	Dec					
2013	Q1					
	Q2			Business case for consideration / decision		
	Q3			Implementation*		
	Q4					

\* dependant upon cabinet decision

## **4.0 MANAGING THE PROGRAMME**

### **4.1 Overall programme management**

- 4.1.1 The programme, even when undertaken in the phased manner outlined above, will be very challenging, particularly as it will need to operate and be managed over a number of organisations. There will be a significant challenge to ensure that the information considered and the options proposed are robust, meet the required objectives of the respective organisations and deliver a potentially more efficient and effective service.
- 4.1.2 It is important in any such programme, that there is a clear and accountable lead for the required management and drive behind the programme. Such a role needs to be impartial and detached from each of the individual organisations, have the capacity and skills to manage such a complex programme over a number of organisation and given that the programme is aligned to the achievement of the requirements of the MTFS to deliver to what are very challenging timescales for such an undertaking.
- 4.1.3 None of the authorities involved have the capacity to undertake this role and to ensure the impartiality of the programme which is crucial in developing the required options and ensuring that they are not a reflection of one organisation. The three authorities participating in the programme have all identified funding to support the implementation of the programme and this funding will be utilised for this and any external legal and or specialist advice that may be needed in the implementation process. The cabinet report of the 7<sup>th</sup> November identified that there was the potential for the authority to access up to £75K of REIP legacy funding and it has been confirmed that this is possible. On this basis it is intended to utilise this money for the overall management of the programme and any external support which may be required in conjunction with £20K successfully secured from the Local Government Association for adult social care for programmes such as this.

### **4.2 Internal Management**

- 4.2.1 The programme of activity requires overall management and coordination with clear accountability at an officer level to ensure that it progresses in line with Executive decisions and the principles outlined. It is equally important that at an authority level that there is this clarity and drive to ensure that the programme and individual projects are effectively managed in the context of individual organisations.
- 4.2.2 At an authority level there will be an identified Project manager (at Assistant Director level) for each of the workstreams. This person will be responsible for ensuring that the requirements of the workplan and associated milestones are met, that issues at a locality level can be addressed and the project momentum maintained. This will be the case for each of the identified workstreams (included in the phased plan above).
- 4.2.3 It is important to recognise that whilst elements of the programme can be incorporated into the roles and responsibilities of existing officers (in the same manner that work undertaken to determine and provide options in respect of

budget savings are currently) that given the nature and scale of the areas being considered as part of the development of agreed business cases that there will be a range of additional resources required to support this delivery.

- 4.2.4 Consideration has been given to the extent to which significant back filling is required to progress the programme. Whilst the authority has been through a number of restructures and resources have been reduced it is important to note that in past years officers have continued to undertake their “core roles” whilst also developing and providing for consideration (or supporting the development and implementation of these) budget proposals which have encompassed savings of £19.4m in the last 3 years. At this stage it is considered that, to minimise the potential costs, that significant portions of the required work can be integrated into current roles (as this work will essentially replace some of the work which has been required in previous years to develop and implement proposals in respect of the MTFS of which this will be part going forward).
- 4.2.5 However it has been identified that to support the respective project managers in the authority that it would be important, in addition to those current resources that can be directed to this project, to provide an additional resource for a time limited period and this post would be supernumary, time limited and either seconded to the lead department in respect of the phased programme or work as part of the Chief Executives department whilst providing this departmental support and this post can be funded from REIP legacy funding, Social Care Reform monies and the Local Government Association funds.
- 4.2.6 This post will provide the required level of internal knowledge, expertise and skills to support the project managers, undertake any required research and or internal investigation, to provide a resource for the project manager to ensure that required information and data are available and delivered to timescale and to potentially provide a degree of “non professional” challenge to emerging ideas and considerations.

### 4.3 Governance

- 4.3.1 The governance for the programme will be required to work on a number of levels. Cabinet have already agreed the principle that in any of the projects that proceeding beyond the business case stage to any form of implementation will require a Cabinet decision and this is important to ensure that there is both a structure to the programme and that the importance of adequate political oversight is maintained and in addition as part of the Cabinet report of 7<sup>th</sup> November it was agreed that

“any further opportunities for any tactical collaboration outside of the scope identified in this report are developed for Cabinet consideration and approval”

- 4.3.2 It is important to note that the decision making in respect of the potential options to take project areas forward will be maintained with each individual executive but that it would be beneficial for there to be a continuing and ongoing dialogue between the Executives of the respective authorities in respect of the progress made and any issues that may need to be resolved at various stages of the programme. In addition as part of an ongoing process of dialogue in respect of the areas being considered as part of the programme

it would be beneficial for there to be regular meetings between respective leaders, portfolio holders and executives to ensure that there is an ongoing and clear understanding of the programme as it develops.

- 4.3.3 The management of the programme at an operational level will be managed through the combined Corporate Management Teams of the authorities involved, Project Sponsors for each individual workstream, ( e.g for Child and Adult services this will be the relevant directors), the overall Programme Management and Project officers in the respective authorities (as outlined above).

## 5.0 TIMETABLE

- 5.1 Based on the discussions to date and the work which has been ongoing since Cabinet considered the report on 7<sup>th</sup> November 2011 a more detailed timetable has been prepared which identifies for Cabinet the key stages of the process, key decision points and the overall structure of the programme. This is attached to this report as **Appendix 1**.
- 5.2 The timetable is likely, as in any complex programme to require revision but does provide Cabinet with an overview of the intended plan.

## 6.0 CONCLUSIONS

- 6.1 The programme, as has been outlined previously, is complex, challenging and requires careful management and consideration of options as it progresses.
- 6.2 A staged process to undertaking this is the correct model to follow but in itself provides a degree of complexity to ensure that any interrelationships are clearly considered and understood and that work is undertaken at the appropriate time (e.g. in the context of Corporate Services following slightly behind consideration of Child and Adult Services)
- 6.3 It is important to ensure that as the programme develops that all implications, risks and opportunities are considered and accounted for.
- 6.4 The management of the overall programme needs to be effective, driven and impartial in respect of the authorities concerned to ensure that it is both seen as, and is, balanced and reflective of all of the options available but considered in the context of what may be the varied political or policy drivers of the respective organisations.
- 6.5 The delivery arrangements, at this stage of the programme, have been assessed as being largely deliverable from within existing resources as they will form part of the plans to deliver the requirements of the Medium Term Financial Strategy (and would have previously been undertaken by a range of individuals under the auspices of Business Transformation projects). This will need to be kept under close review and support for the implementation of the programme has been identified that an additional resource as outlined in section 3 above be made available.
- 6.6 As part of the overall consideration of the options available for collaboration, and whilst this programme concentrates on the opportunities outlined with a

number of other local authorities further work will be undertaken to identify other potential collaboration options with other parts of the public sector e.g. Health, Fire, Police etc.

## **7.0 RECOMMENDATIONS**

- 7.1 Cabinet to note the report, proposed draft milestones and currently identified decision points for Cabinet and associated arrangements, with any comments Cabinet may wish to make.

## **8.0 BACKGROUND PAPERS**

Cabinet Report – 7<sup>th</sup> November 2011 – Medium Term Financial Strategy / Business Transformation

## **9.0 CONTACT OFFICER**

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9.1  
APPENDIX A

**Appendix 1**

		2012												2013				2014
		J	F	M	A	M	J	J	A	S	O	N	D	Q1	Q2	Q3	Q4	
<b>Child and Adults</b>																		
	Project Initiation Document																	
	Map of services in scope																	
	Commissioning options																	
	Map of service costs / performance / standards																	
	High Level options Appraisal																	
	Cabinet Review of high level options																	
	HR / Legal / Financial assessment																	
	Detailed Options Appraisal / Business Case																	
	Cabinet consideration / decision																	
	Implementation																	
<b>Culture</b>																		
	Council Working Group																	
	Cabinet decision on Business case																	
	Development of options																	
	Cabinet consideration / decision																	
	Detailed business case (dependant on above)																	
	Cabinet consideration / decision																	
	Implementation (TBC)																	
<b>Corporate Services</b>																		
	Project Initiation Document																	
	Map of service costs / performance / standards																	
	High Level options Appraisal																	
	Align to other workstreams																	
	Cabinet Review of high level options																	
	Detailed Options Appraisal / Business Case																	
	Cabinet consideration / decision																	
	Implementation																	
<b>Place</b>																		
	Review of Darlington's proposals with and further options to be considered																	

9.1  
APPENDIX A

	Further options and stages to be confirmed																	
	Regeneration, Policy, Planning and Infrastructure																	
	Review of Darlington's proposals with and further options to be considered																	
	Further options and stages to be confirmed																	

## **Scrutiny Investigation into Young People's Access to Transport, March 2012**

### **Background**

As part of the Children's Service Scrutiny Forum we were given the opportunity to pick a topic that we were interested in and lead on our own investigation. After some discussion we picked the topic of young people's access to transport. This was because we felt it was very relevant to a large majority of young people across the town. We decided to focus our investigation on what transport is available across the town that young people can access at night and to examine the transport times, areas, and costs covering all positive and negative aspects.

### **Process**

We looked at bus timetables and bus routes and found that bus services stopped at 6.30pm.

We then developed a questionnaire using survey monkey which was circulated across the town through schools and youth organisations. The questionnaire helped us gather information on;

- Which transport services young people use and how often?
- Where young people go on transport services?
- Which youth organisations young people attend and if they use transport services to get to them?
- Popular areas in the town for young people?
- If the cuts to services have stopped young people from visiting friends, family, etc?
- When young people used transport services?
- If the cuts had affected their attendance? (school, college, work, etc).
- If they would use other forms of transport if they were available (minibuses, etc)?
- What they thought about current bus fares?
- If young people feel safe when using transport services?
- Suggestions on changes to transport services to make them safer?
- Safety issues?
- Suggestions on how to overcome cuts to services?
- Any other comments?
- Age
- Sex
- Which areas they live in?



The questionnaire was completed by 200 young people over a two month period.

## Findings

We attended the Transport Champions Group and found that they are working with local communities to establish community travel clubs across the town. They had also ran a survey with residents but had received a limited response. The Champions group asked if they could look at the information gathered from our survey to assist them in this project. If the community travel clubs are established they will be fully funded by the users.

We were informed in the meeting that transport services had recently commenced for Hartlepool College of Further Education to provide twilight services to those accessing evening courses, and council services representatives suggested that there may be an opportunity for these services to be extended to provide service to young people.

At the 11 million Take Over event for young people in November 2011, discussion arose amongst young people about transport cuts and the safety issues that may affect young people as a result. The point was made that many young people are walking long distances across the town late in the evening as not all young people have access to other means of transport. Results from the young people's survey also appear to confirm that young people are concerned about safety issues since public bus services have been cut, and this has restricted their access to leisure opportunities; *"Don't feel safe getting in taxis (and they cost a lot) and don't feel safe walking alone when trying to go places"*.

One young person seemed to sum up in one response a lot of concerns young people share;

*"Because there is no busses on a night I have to be in at an earlier time because most of the time I have to walk from where ever I am, Also I manage to spend most of my pocket money on a taxi home just so I know I'm going to get home safe. when the busses were on I could get the bus into the town where it was busy and I would only have to walk up 2 roads before I was home which is not that bad than walking home from the other*

*side of town. Taxis cost a bomb these days and they are making more money and making new taxi firms because they have the money. I think stagecoach should bring the busses back even if its just 1 bus an hour on a night. A number of my friends have been involved in different things since the busses have stopped e.g.: getting jumped by a bunch of boys walking home. I personally think the busses should come back in order to keep us safe and this also effects older people who can't get out and about to their local pub/club because they have no family or friends and not enough money for taxis”*

It is clear that the young people access transport to visit friends and family but the cuts have affected young peoples attendance at school, college, training and work; Of the 137 responses (to the specific question), 19 said their attendance at school had been affected, 40 said their attendance at college had been affected, 18 said their attendance at training had been affected, 24 said there attendance at work had been affected, 47 said their attendance at sports and recreation facilities had been affected and 40 young people said their attendance at youth organisations and youth clubs had been affected;

*“I have to take the last weekday evening bus, ten past six from Owton Manor to Mill House to get to work, I normally get there for around half-past but I don't start work until half-past seven so I'm always extremely early, there isn't any other bus. Also after my shift is finished I have to go to the town centre to get the Stagecoach 36 on an evening to take me to Catcote Road I live near Dyke House School but I go to Seaton youth centre because that's where all my friends go so this mean that at 9 o'clock at night I have to walk home because there is no more buses after 6, which is still a twenty minute walk from my house at night in an area known for being rough”.*

We had very surprising results to the question of how the restrictions on attending places had affected young people; Of the 137 responses (to that specific question); 54 said the changes were making them late for school/college, 46 were getting into trouble because of the changes, 25 of them said the changes were affecting their results, 92 said the changes were costing them more money, 17 were asked to leave their training scheme, 5 of them have been asked to leave their job, 104 of them said that the changes were restricting them meeting their friends, and 66 of

them said that the changes were restricting them from taking part or joining in recreational activities.

*“The recent changes that have been made to the bus time table mean that I have basically have a curfew and this is affecting my social life and also my college work because when I need to stay behind I cannot get the bus back home and also when there is the holidays like the Christmas holiday I have to make sure that on week days I am on the bus home before seven when normally I would be able to stay at a friends house or with my friends until later on”.*

We have also discovered that the young people’s sexual health clinic drop in service at the One Life Centre is held between 6.30pm and 8pm. This means that young people would not be able to access the clinic if they lived at the other side of town and did not have their own means of transport.

Taxis are mentioned numerous times in the comments that young people gave within the survey. Young people recognised them as one of the only ways to access services in the evening but many stated that they were too expensive and worryingly a few said that they felt unsafe using them. 53.7% of the young people who took part in the survey said that they would be interested in utilising other forms of transport if it was low cost. Some of the suggestions young people suggested as a solution included;

- *Cheaper taxis*
- *Keep buses on until 10pm*
- *Buses once an hour*
- *Make grants available for community places to have their own minibuses*
- *Local council taxis transport coming together and using each others vehicles*
- *Make buses slightly more expensive during the evenings*
- *Youth Buses*
- *Have some reasonably priced transport that stops at popular destinations for young people*

The Transport Champions Group working alongside groups of young people who are keen to resolve this could be a way of moving this forward.

*(Full findings of the survey can be found in Appendix 1)*

## **Conclusion**

Young people have clearly been affected by the public bus services cuts and solutions must be found to overcome the issues we have discovered. Bus companies should be thinking about reinstating night time services and be made aware of the issues that young people are facing and the risk that they may be taking as a result; or at least investigate other options for young people across Hartlepool.

We feel that one of the most important points to highlight is that young people don't feel safe in taxis or walking alone when going places / going home.

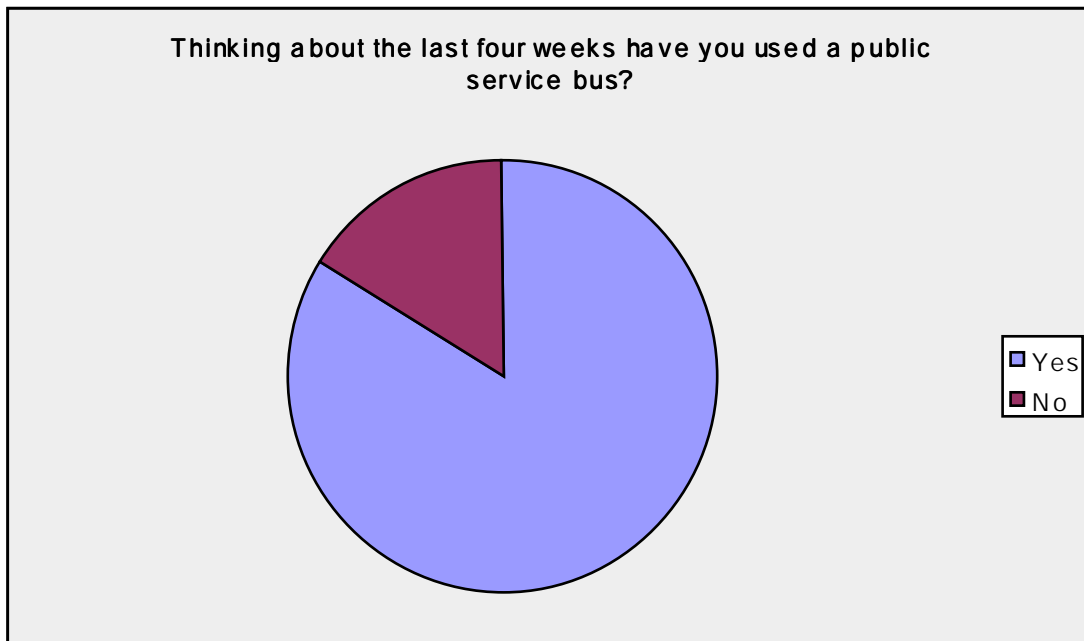
## **Recommendations**

We recommend to Cabinet that:-

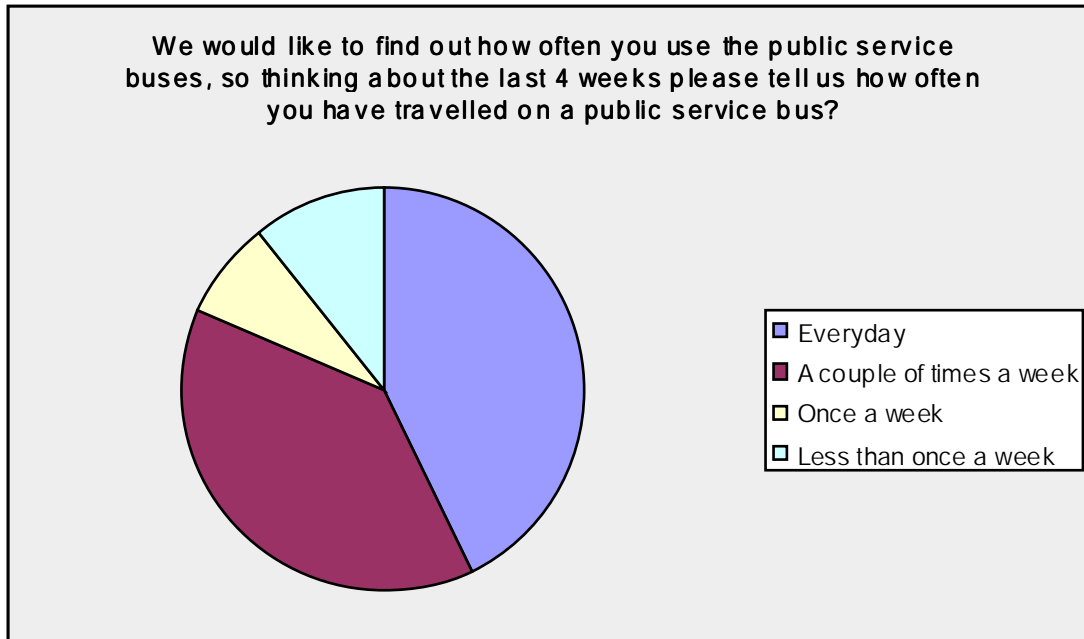
- (1) The Council explores options to improve young people's access to transport through the transport group, local transport companies and organisations across the town who work with young people and that an update report be brought back to the Children's Services Scrutiny Forum detailing all the work that has been carried out in all areas; and
- (2) this report is presented (by the young people's representatives) to the Neighbourhood Services Scrutiny Forum when the Forum further explores 'low cost travel to young people through concessionary fare schemes'

## Appendix 1

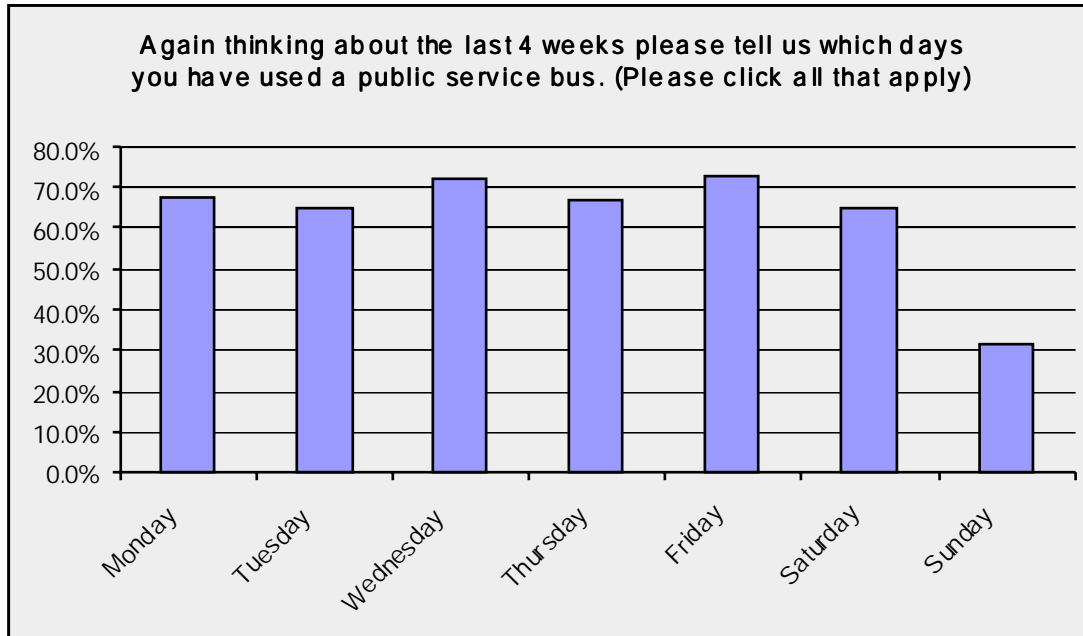
### Results and Findings of Transport Survey



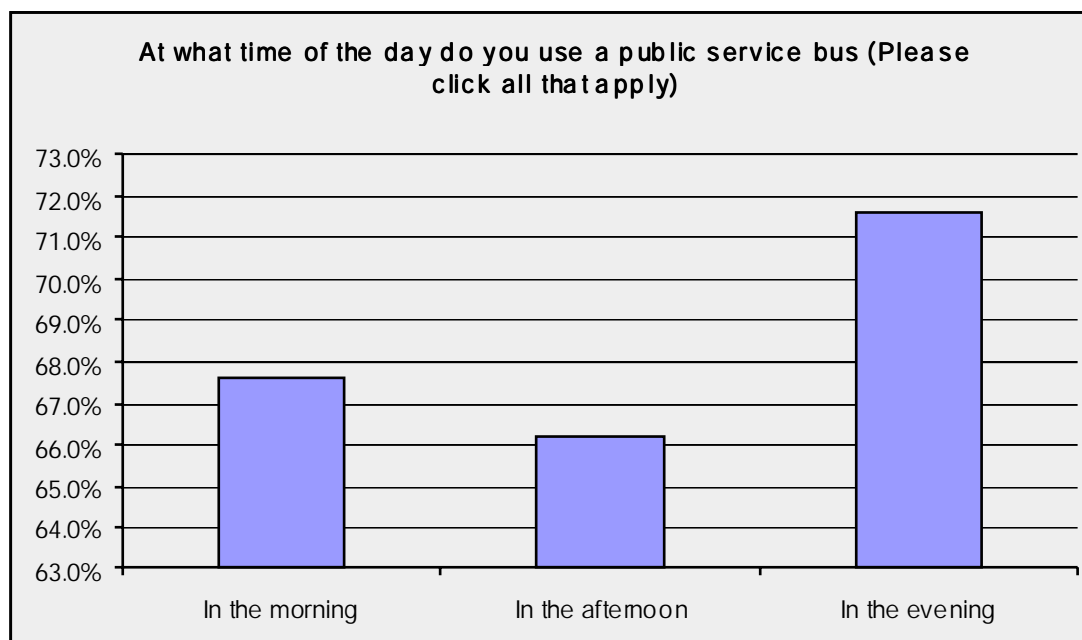
84% (168) of the young people questioned had used a public service bus in the last four weeks and 16% (32) had not used a public service bus in the last four weeks.



42.9% (67) of young people questioned used a public service bus everyday, 38.5% (60) used a public service bus a couple of times a week, 7.7% (12) used a public service bus once a week and 10.9% (17) used a public service bus less than once a week.

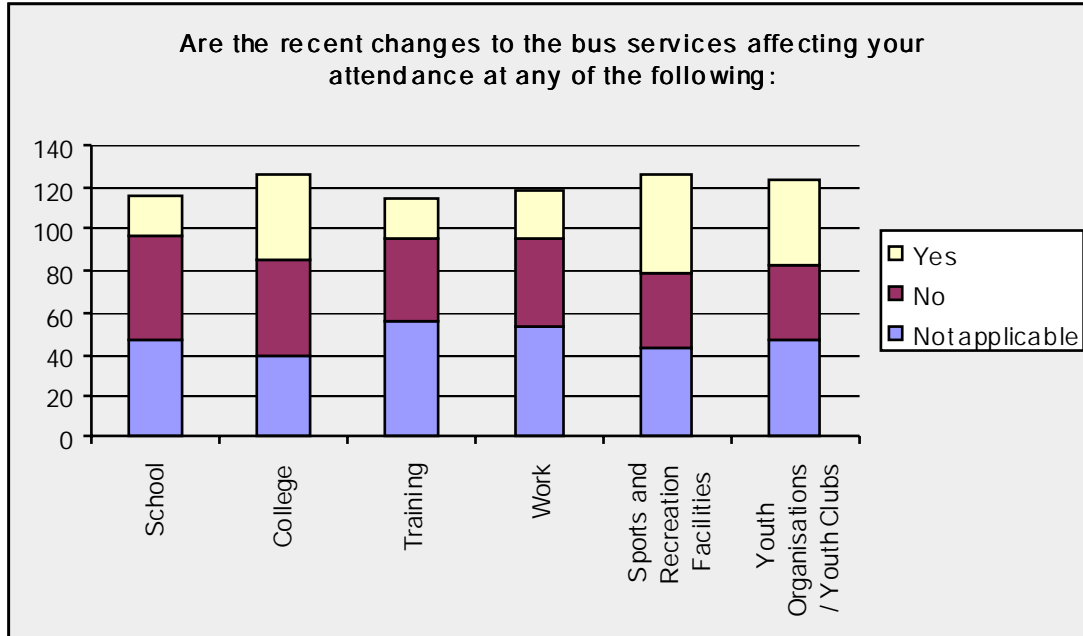


67.6% (100) used a public service bus on a Monday, 65.5% (97) on a Tuesday, 72.3% (107) on a Wednesday, 66.9% (99) on a Thursday, 73% (108) on a Friday, 64.9% (96) on a Saturday and 31.8% (47) on a Sunday.

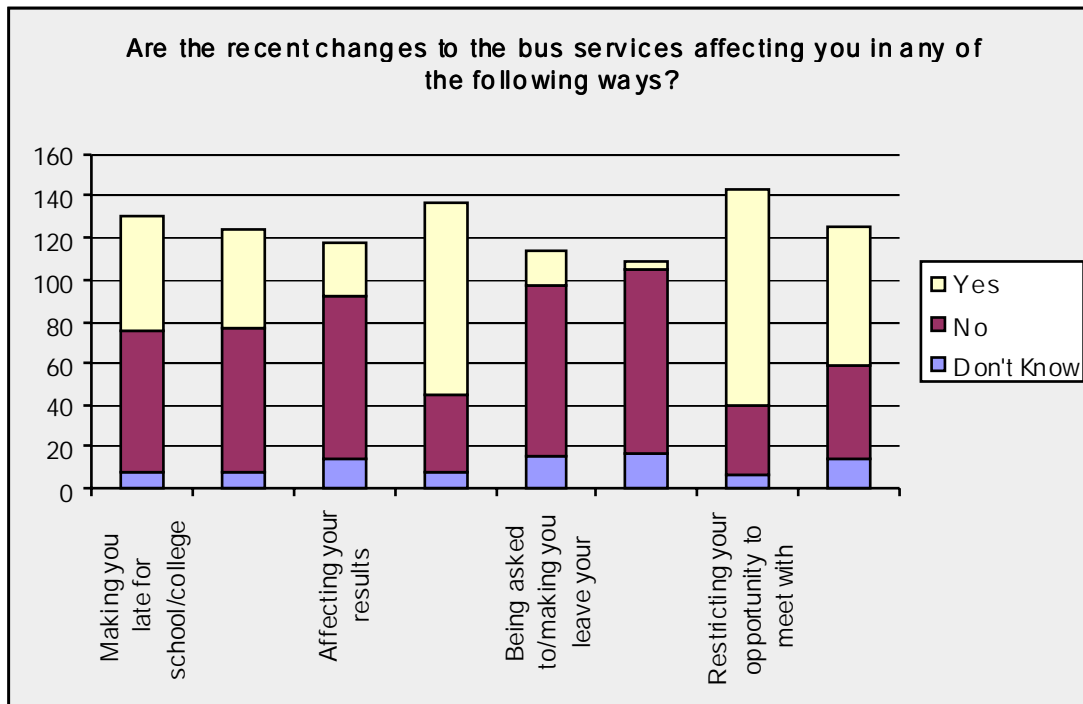


67.6% (100) used a public service bus in the morning, 66.2% (98) in the afternoon, 71.6% (106) in the evening.

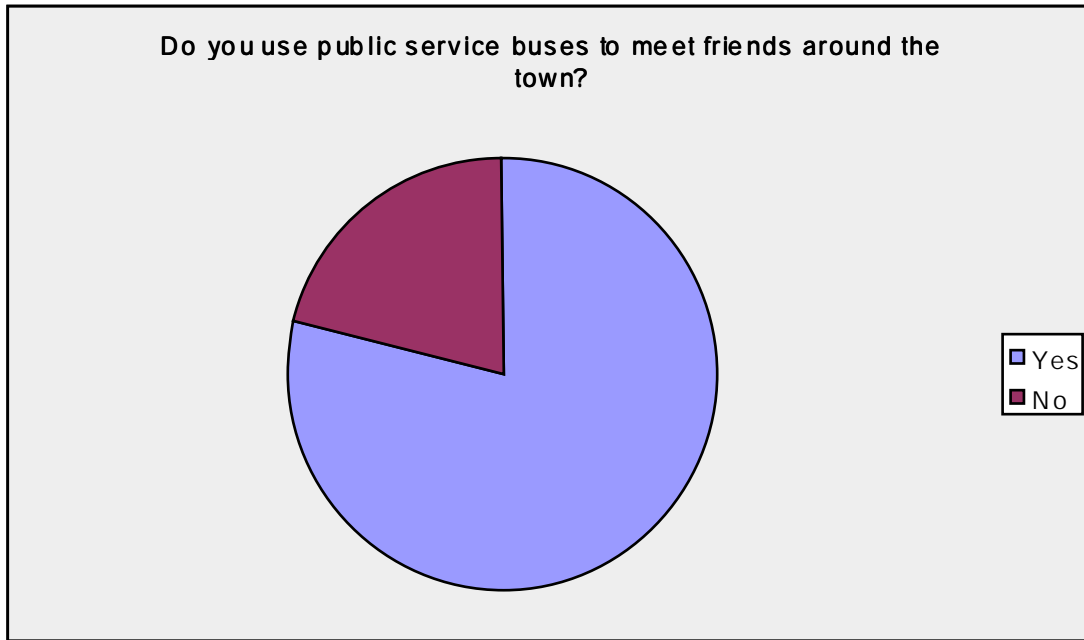




The young people questioned said that many of the recent bus service changes had affected their attendance. Of the 137 responses 19 said their attendance at school had been affected, 40 said their attendance at college had been affected, 18 said their attendance at training had been affected, 24 said their attendance at work had been affected, 47 said their attendance at sports and recreation facilities had been affected and 40 young people said their attendance at youth organisations and youth clubs had been affected.

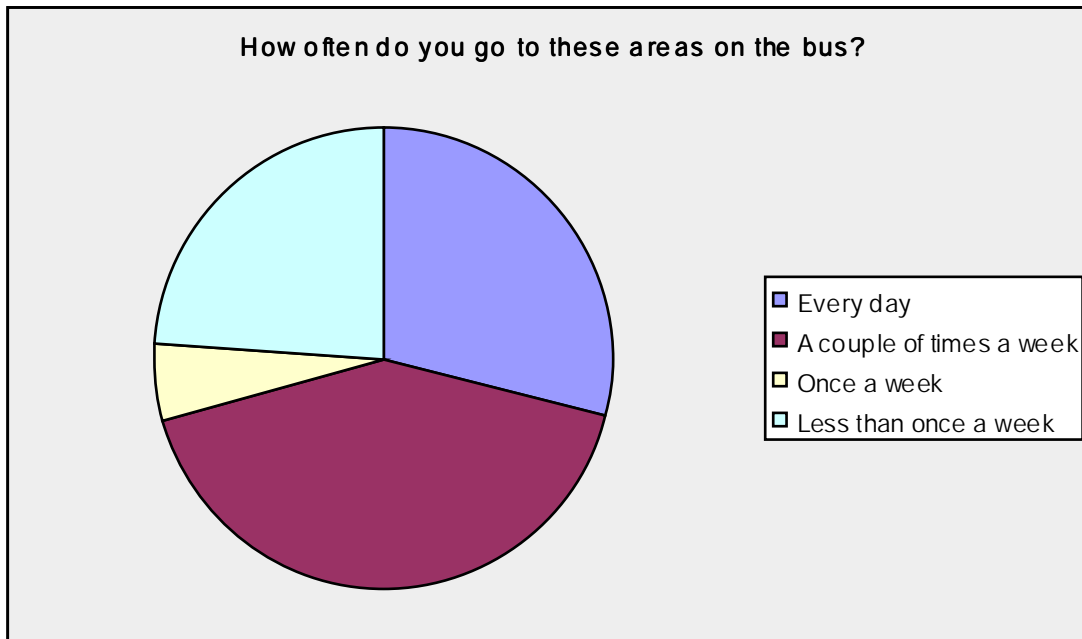


The young people questioned said that many of the changes to bus services had affected them. Of the 137 responses to the above questions 54 said the changes were making them late for school/college, 46 were getting into trouble because of the changes, 25 of them said the changes were affecting their results, 92 said the changes were costing them more money, 17 were asked to leave their training scheme, 5 of them have been asked to leave their job, 104 of them said that the changes were restricting them meeting their friends, and 66 of them said that the changes were restricting them from taking part or joining in recreational activities



79% (124) used public service buses to meet friends around the town, while 21% (33) did not use public services to meet friends.

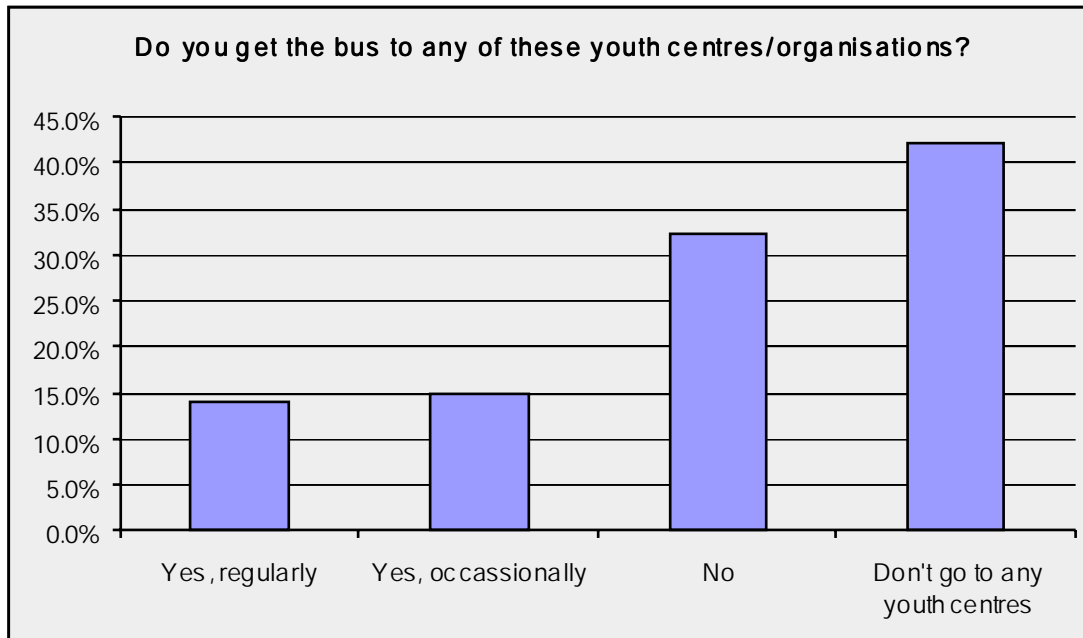
The most popular area young people met up with friends using public service buses was the town centre followed by the Headland, Seaton, Rossmere, Dyke House, Owton Manor, West View, Throston, Greatham, The Marina, Clavering, Rift House and the Fens.



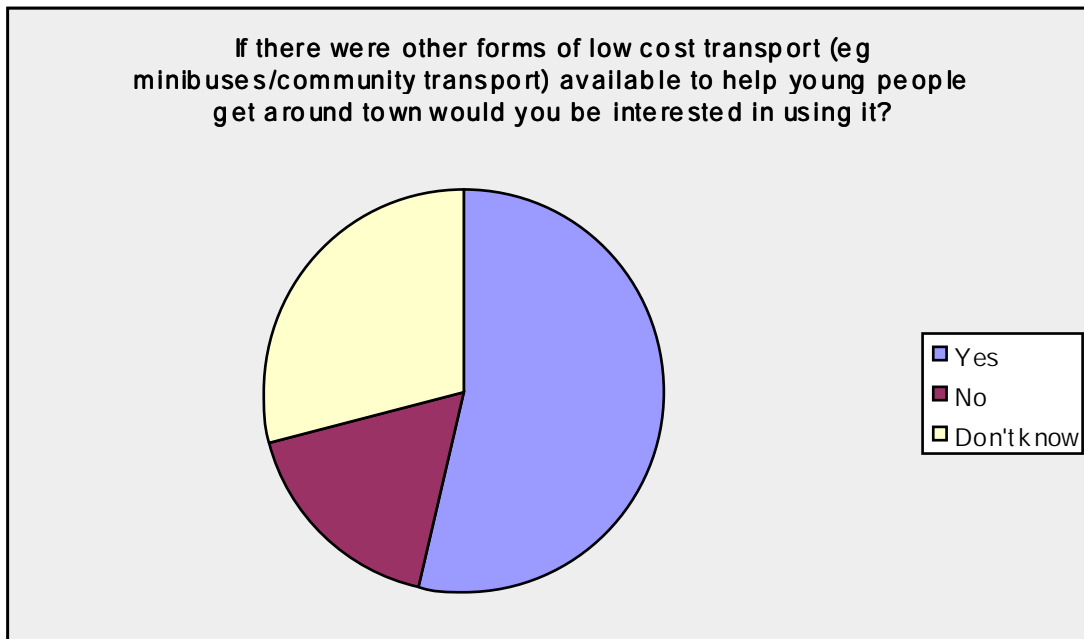
28.8% (42) visited these areas on the bus everyday, 41.8% (61) visited these areas on the bus a couple of times a week, 5.5% (8) visited these areas once a week, 24% (35) visited these areas less than once a week.

The young people told us that they visit many youth organisations across the town these included;

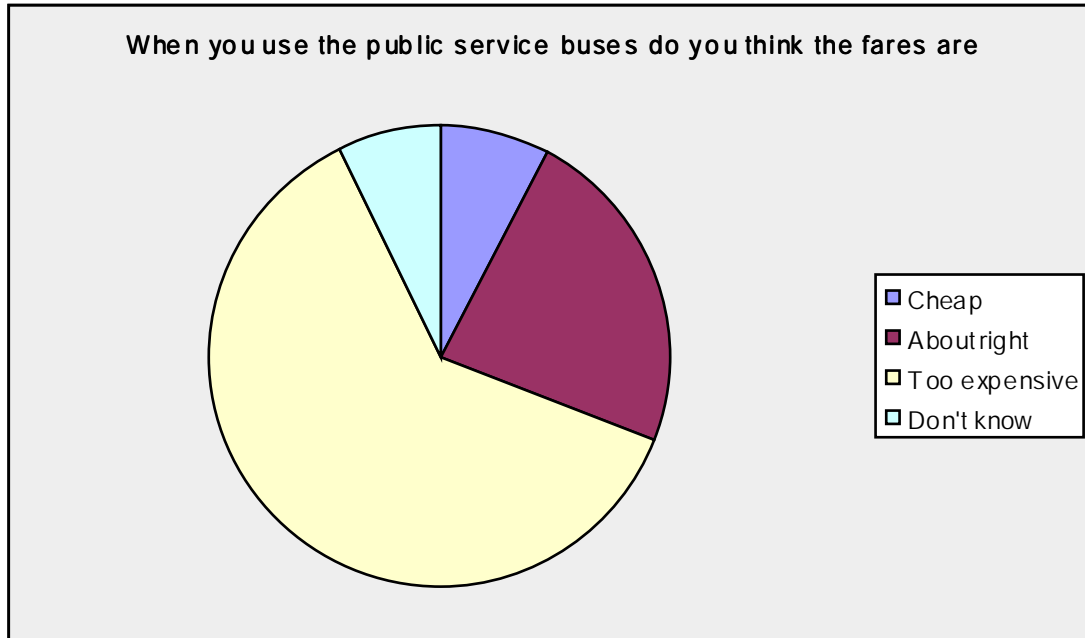
- Rossmere Youth Centre
- Seaton Youth Centre
- Greatham Youth Centre
- Belle Vue Youth Centre
- Throston Youth Centre
- Burbank Youth Centre
- Brinkburn Youth Centre
- Red Dreams
- Wharton Trust
- Sea Cadets
- Youth Bus
- Kick Boxing Clubs
- Swimming
- Rossmere Skate park
- One Stop Shop
- Barnardos
- Café 177
- Dance Academies
- Air Cadets



14% (20) of the young people got the bus to the youth centres/organisations regularly, 14.7% (21) of the young people got the bus occasionally, 32.2% (46) didn't get the bus to the youth centres/organisations and 42% (60) didn't go to any of the youth centres/organisations.

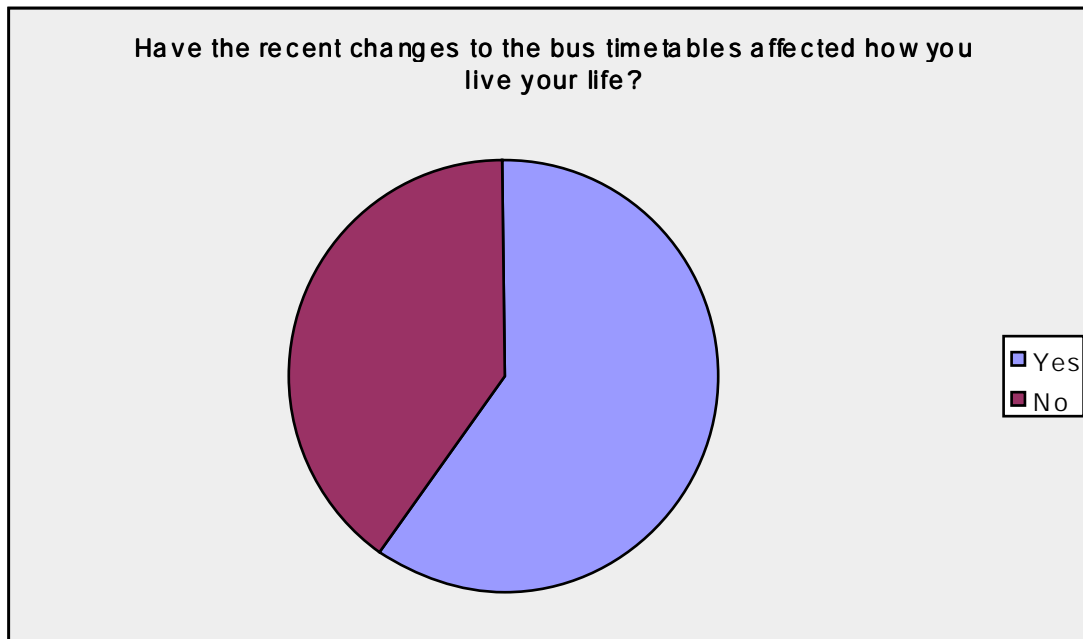


53.7% (79) said that they would be interested in using other forms of low cost transport (e.g. minibuses/community transport) to get around town, 17% (25) said they wouldn't be interested in using other forms of low cost transport and 29.3% (43) said they didn't know if they would use other forms of low cost transport.



7.8% (12) young people thought that public service buses fares were cheap, 22.9% (35) thought that the fares were about right, 62.1% (95) thought that the public services buses were too expensive and 7.2% (11) didn't know.





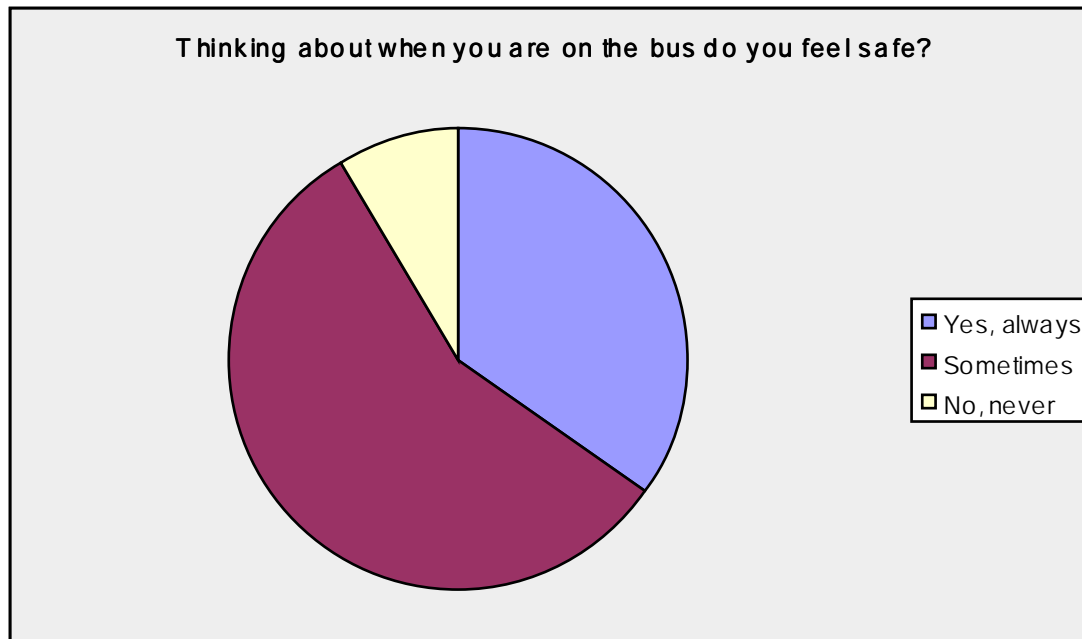
59.6% (87) of the young people felt that the recent changes to the bus timetables had affected how they live their life, while 40.4% (59) felt their life had not been affected by the recent changes to the bus timetables.

These affects include;

- I have to leave the house a lot earlier than before and be back home earlier
- I used to use the buses on a night but because of the cuts to late buses I have to walk everywhere.
- Cant travel after 7pm
- Difficult to see people after school.
- Can't socialise properly.  
Only use services once a week because wouldn't be able to get home later.
- Home late
- Not being able to go places  
Cost more
- I don't use buses anymore because of the changes and cost.
- When I need to go to kick boxing my mam has to take me and she cant always do this

- Because there is no buses on a night I have to be in at an earlier time because most of the time I have to walk from where ever I am, Also I manage to spend most of my pocket money on a taxi home just so I know I'm going to get home safe. when the buses were on I could get the bus into the town where it was busy and I would only have to walk up 2 roads before I was home which is not that bad than walking home from the other side of town. Taxis cost a bomb these days and they are making more money and making new taxi firms because they have the money. I think stagecoach should bring the buses back even if its just 1 bus an hour on a night. A number of my friends have been involved in different things since the busses have stopped e.g.: getting jumped by a bunch of boys walking home. I personally think the buses should come back in order to keep us safe and this also effects older people who can't get out and about to their local pub/club because they have no family or friends and not enough money for taxis
- Getting home from afterschool clubs is hard when parents are at work
- Late home
- I now either have to make sure there's spare money for taxis home, walk or not go out in the first place
- Yes because I have to walk to headland and back
- Don't get to see my friends and family across town as much.  
I have to walk home and its not nice weather this time of year.  
Can't do as many activities.  
Harder to get transport to were I want to go.  
Don't feel safe getting in taxis (and they cost a lot) and don't feel safe walking alone when trying to go places.
- I'm getting told off by my parents for asking for a lift on Sundays so I can go and see my friends, as the Stagecoach 1 route that I live near to doesn't run on Saturdays. Also I have to rush because busses are stopping way too early; I can't do anything on an evening. I have to walk to get anywhere after 6 which adds another 1-2 hours to going to see my mates
- Not being able to go out as much to meet with friends, not being able to do course work (go to locations for photography) and restricting times so I may have to leave somewhere early
- I don't get out much in fear of not being able to get home on time ... Or having to walk home late at night

- As I have a part time job when I work till late at work the last 36 bus from my job is 23:19 and sometimes it doesn't show up so I have to get a taxi which means spending unnecessary money! I'm only a student and have very little money to start off with
- Cannot get the bus home from swimming training due to the buses not running that late
- When going out with friends on a weekend I usually have to walk home even on dark nights, or get a taxi which costs quite a lot as I have to get it from Seaton to Throston.
- I have to take the last weekday evening bus, ten past six from Owton Manor to Mill House to get to work, I normally get there for around half-past but I don't start work until half-past seven so I'm always extremely early, there isn't any other bus. Also after my shift is finished I have to go to the town centre to get the Stagecoach 36 on an evening to take me to Catcote Road I live near dyke house school but I go to Seaton youth centre because that's where all my friends go so this means that at 9 o'clock at night I have to walk home because there is no more buses after 6., which is still a twenty minute walk from my house at night in an area known for being rough.
- The recent changes that have been made to the bus time table mean that I have basically have a curfew and this is affecting my social life and also my college work because when I need to stay behind I cannot get the bus back home and also when there are the holidays like the Christmas holiday I have to make sure that on week days I am on the bus home before seven when normally I would be able to stay at a friend's house or with my friends until later on.
- Am sometimes unable to go out or do sport hobbies at clubs due to there being no means of later time transport from certain parts of town to the other. Also I can't go see my gran as often as I used to due to the new timetable for buses into Seaton Carew and the bus being the only way I can transport around since I'm too young to drive and taxis are too expensive, which is not what I had ever wanted.
- Don't attend air cadets hardly , as petrol prices are high so can't get lifts of parents and now the buses have stopped early which I need one for 9 30
- Walking home from night games from watching Pools play, I feel unsafe.



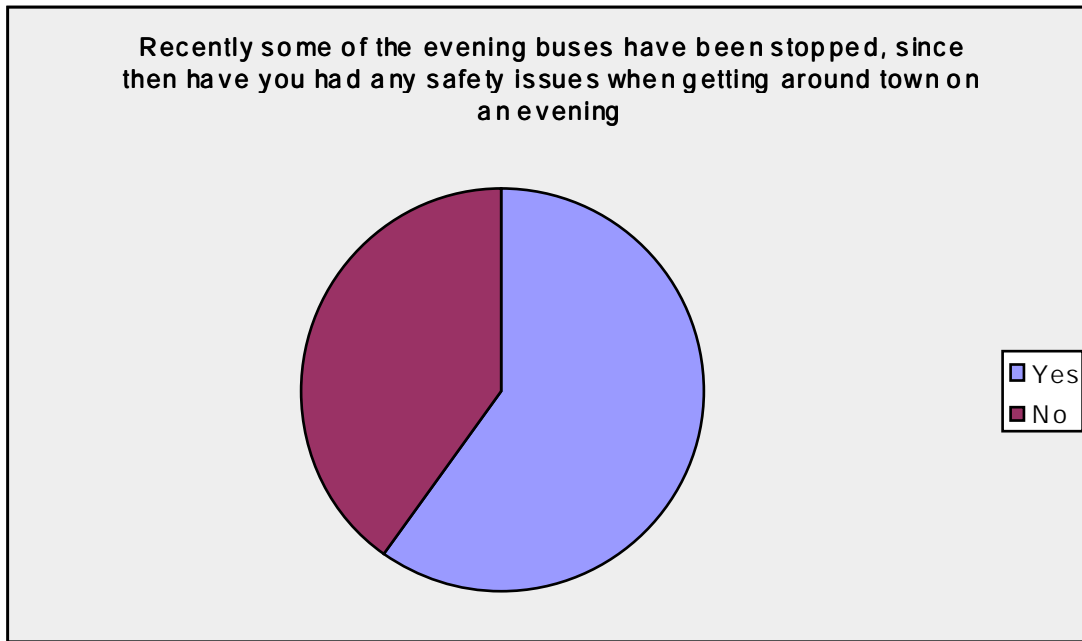
34.6% (53) young people said that they felt safe when they travelled on the bus, 56.9% (87) young people said that they sometimes felt safe while 8.5% (13) said they never felt safe while travelling on buses.

The young people questioned told us how they felt unsafe this included;

- Some bus drivers like to go really fast
- People with hoods up and older teenagers.
- No Seatbelts
- People shouting and swearing on buses
- When intoxicated people enter the bus and behave inappropriate

The young people questioned were asked what changes do you feel would make you feel safer when using public service buses? Below are some of the responses;

- More Cameras
- Drive slower
- Seatbelts
- Seatbelts, more strict on anti social behaviour
- Don't let drunk people on the bus
- Control people more
- No loud music can be played out loud
- Having a bus security guard and every bus, like a ticket inspector
- Having the driver keep to the limit on remote country roads.
- Lights
- Bus driver have more involvement to calm shouting people



60% (84) young people said that they have had safety issues around the town on an evening since some of the evening buses had been stopped, while 40% (56) have not had any safety issues.

These safety issues included;

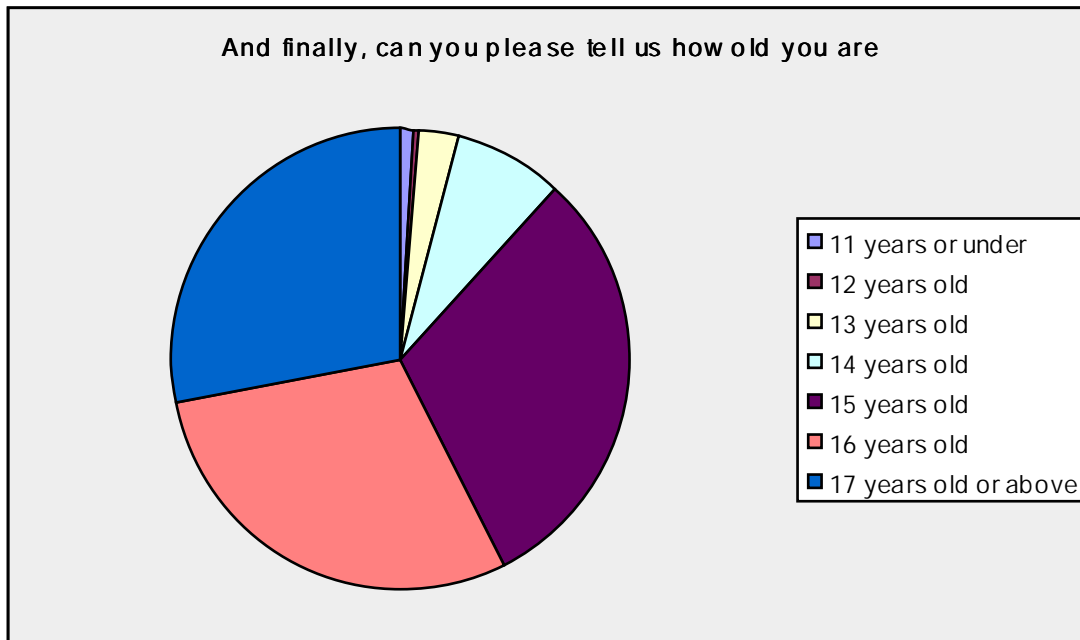
- Walking home in the dark
- Being attacked
- Being scared
- Getting home late
- Walking long distances
- Waiting for taxis in the dark
- Riding my bike home in the dark
- Being stranded in locations
- Walking through badly lit areas
- When walking home I often get approached by people asking for money and wanting to lend my phone.
- I have been threatened by people when walking home
- Walking home with my newborn son I have been threatened

The young people suggested that ways to overcome these issues could include;

- More buses
- Use minibuses
- Bikes
- Cheaper transport that runs later
- Cheaper taxis
- Keep buses on until 10pm
- Buses once an hour
- Make grants available for community places to have their own minibuses
- Local council taxis transport coming together and using each others vehicles
- Trams
- Get your mam and dad to drive you
- Bring back normal bus timetables
- Put the buses back on with lower fares
- Run buses every 15 minutes instead of every 10 minutes
- Make buses slightly more expensive during the evenings
- Youth Buses
- Have some reasonably priced transport that stops at popular destinations for young people

The young people were asked if they had any more comments on the public bus service in Hartlepool. These include;

- Everyone has been left without a mode of transport on a night because of cuts.
- Affected me seeing friends like I used to.
- Limits were people can go
- More buses
- They should put them back on till 10.30pm
- Keep buses after 6.30pm
- There are no buses to the headland which affects me meeting up with my friends
- There are no buses to the Headland from King Oswey and it is hard to get home
- Very confusing to follow the timetables
  
- Cheaper
- Free bus service for students
- Yes, it really is terrible. All buses should run all week, and until late.
- 
- Give more opportunities to local businesses like Pauls Travel
  
- Bring back later busses! Even if it's just once an hour up until 11 but 6 is too early!!
  
- They should be cheaper and put all the busses back on.
  
- They are too expensive and they need to make them cheaper
- Cutting the services and raising the prices at the same time doesn't seem right.
- Bring them back on for evenings and lower prices!
- Bus services are otherwise good but I think they need to continue running later.
- Stop being late all the time
- The recent evening bus changes have heavily affected my social life.

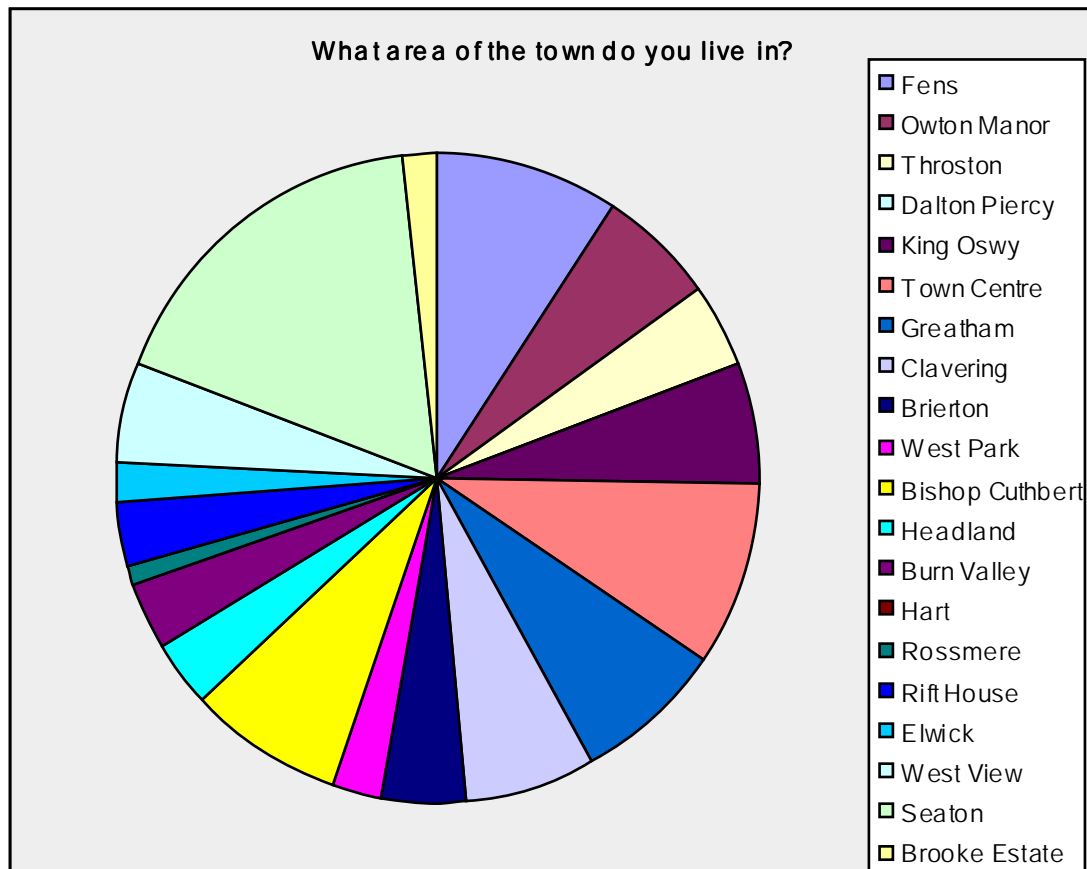


0.7% (1) of the young people questioned were 11 years old, 0.7% (1) were 12 years old, 12.7% (4) were 13 years old, 7.5% (11) were 14 years old, 30.8% (45) were 15 years old, 29.5% (43) were 16 years old and 28.1% (41) were 17 years old or above.





51.4% (74) of the young people questioned were male and 48.6% (70) of the young people questioned were female.



9.2% (11) of the young people questioned lived in the fens area of the town, 5.9% (7) lived in Owton Manor area, 4.2% (5) lived in the Throston area, 0% (0) lived in the Dalton Piercy area, 5.9% (7) lived in the King Oswey area, 9.2% (11) lived in the Town Centre area, 7.6% (9) lived in the Greatham area, 6.7% (8) lived in the Clavering area, 4.2% (5) lived in the Brierton area, 2.5% (3) lived in the West Park area, 7.6% (9) lived in the Bishop Cuthbert area, 3.4% (4) lived in the Headland area, 3.4% (4) lived in the Burn Valley area, 0% (0) lived in the Hart area, .8% (1) lived in the Rossmere area, 3.4% (4) lived in the Rift House area, 1.7% (2) lived in the Elwick area, 5% (6) lived in the West View area, 17.6% (21) lived in the Seaton area and 1.7% (2) lived in the Brooke Estate area.

**SCRUTINY CO-ORDINATING COMMITTEE**

13 April 2012

**Report of:** Scrutiny Manager**Subject:** SCRUTINY WORK PROGRAMME SETTING 2012/13

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**1. PURPOSE OF REPORT**

- 1.1 To seek the Scrutiny Co-ordinating Committee's views on the process for establishment of the 2012/13 Scrutiny Work Programme.

**2. BACKGROUND INFORMATION**

- 2.1 Members will recall that the Scrutiny Co-ordinating Committee, at its meeting on the 15 April 2011, approved the revision of the process for the identification of the scrutiny work programme for 2011/12. The aim being to enable work programmes across all Forums to be discussed and approved by the Co-ordinating Committee at one meeting (to which all Scrutiny Members would be invited).
- 2.2 As part of the revised process, it was agreed that rather than each Forum independently identifying their own work programmes, for approval by the Co-ordinating Committee, work programmes across all Forums would be discussed and identified by the Co-ordinating Committee at one meeting (to which all Scrutiny Members would be invited). It was felt that this process would be the most effective use of Scrutiny Members time and enable full co-ordination of the work programme, with a clear focus throughout the year on Scrutiny involvement in the exploration of the Councils challenging budgetary issues for 2012/13. The exception to this arrangement being the Health Scrutiny Forum, which is empowered to set its own work programme as a result of its statutory health powers / responsibilities.
- 2.3 The Scrutiny Co-ordinating Committee subsequently held a single (half day) meeting, on the 24 June 2011, at which the 2011/12 Scrutiny Work Programme was set. The structure of the meeting being:
- i) Presentations:
    - Departmental Briefings by Directors; and
    - Budget Position 2012/13.
  - ii) Selection and Timetabling of Project / Service Areas to feed into the 2012/13 Budget Process

iii) Selection of Potential Additional Topics for Inclusion in the 2011/12 Scrutiny Work Programme

2.4 Feedback following the meeting was very positive and Members are asked to consider:-

- i) If they wish to repeat the 'single meeting' process for the establishment of the 2012/13 programme;
- ii) How / if they wish to focus their work programme on consideration of potential budget / service area proposals to feed into the 2013/14 Budget Process. This being in addition to the formal budget consultation process; and
- iii) How / if they wish to incorporate consideration of the potential collaboration programme (as detailed in the report considered earlier in the meeting) in Work Programme.

### 3. RECOMMENDATIONS

3.1 That the Scrutiny Coordinating Committee considers:

- i) If it wishes to repeat the 'single meeting' process for the establishment of the 2012/13 programme.
- ii) If it wishes to focus its work programme on consideration / exploration of potential budget / service area proposals to feed into the 2013/14 Budget Process. This being in addition to the formal budget consultation process.
- iii) How / if it wishes to consider the incorporation of the collaboration programme (as detailed in the report considered earlier in the meeting) in to this years Work Programme.

**Contact Officer:-** Joan Stevens – Scrutiny Manager  
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### BACKGROUND PAPERS

No background papers were used in the preparation of this report.

## SCRUTINY CO-ORDINATING COMMITTEE

13 April 2012



**Report of:** Adult and Community Services Scrutiny Forum

**Subject:** FINAL REPORT INTO EARLY INTERVENTION AND RE-ABLEMENT SERVICES

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### 1. PURPOSE OF REPORT

- 1.1 To present the findings of the Adult and Community Services Scrutiny Forum following its investigation into Early Intervention and Re-ablement Services.

### 2. BACKGROUND INFORMATION

- 2.1 23.8% of the Hartlepool population have long term illness (compared to 17.6% across England). People are living longer with more complex health conditions, with less younger people to provide care and support and shrinking resources. It is expected that by 2030, in Hartlepool, there will be a 68% increase in people with dementia and a 34% increase in people with long-term conditions.
- 2.2 The Comprehensive Spending Review and 2011/12 National Health Service (NHS) Operating Framework announced significant levels of funding in 2011/12 and 2012/13 to develop local re-ablement services.
- 2.3 Social care funding allocated to NHS Hartlepool (which must transfer to the local authority for investment in social care services to benefit health and improve overall health gain) equates to £1.3 million in 2011/12 and £1.2 million in 2012/13. Re-ablement funding (which is within Primary Care Trust baselines and needs to be spent on jointly agreed priorities / plans) is approximately £320,000 in 2011/12 increasing to £640,000 in 2012/13.
- 2.4 Plans for the £1.3M social care funding for 2011/12 have been agreed and include:-
- (i) Commissioning services that provide low level support and prevention to maintain people within their own communities (including welfare notices, luncheon clubs, handyperson service, fuel poverty advice and a home visiting service);

- (ii) Increased capacity within existing re-ablement services including Occupational Therapist and Occupational Therapy Assistant posts, Re-ablement Officers and Contact Officers;
- (iii) Maintenance of existing transitional care provision to facilitate hospital discharge; and
- (iv) Maintenance of existing support for carers services

2.5 Plans for the £320K re-ablement funding for 2011/12 have also been agreed and include:-

- (i) Commissioning services that provide low level support and prevention to maintain people within their own communities (including welfare notices, luncheon clubs, handyperson service, fuel poverty advice and a home visiting service);
- (ii) Care home liaison support for people with dementia; and
- (iii) Development of community nursing services based on the 'virtual ward' model to prevent unnecessary hospital admissions and readmissions

### **3. OVERALL AIM OF THE SCRUTINY INVESTIGATION**

3.1 The overall aim of the investigation was to examine and explore early intervention and re-ablement services provided in Hartlepool.

### **4. TERMS OF REFERENCE FOR THE SCRUTINY INVESTIGATION**

4.1 The Terms of Reference for the Scrutiny investigation were as outlined below:-

- (a) To gain an understanding of early intervention and re-ablement services, how they contribute to maintaining people's independence and what a positive outcome looks like;
- (b) To explore how early intervention and re-ablement services are currently being delivered in Hartlepool;
- (c) To consider research carried out by the University of York into the long-term impact of re-ablement service and how this might influence future delivery in Hartlepool; and
- (d) To explore options for service provision in the future given the current budgetary pressures and potential for NHS funding to cease in March 2013.

## **5. MEMBERSHIP OF THE ADULT AND COMMUNITY SERVICES SCRUTINY FORUM**

5.1 The membership of the Scrutiny Forum was as detailed below:-

Councillors Cranney, Griffin, Lawton, Loynes, A Marshall, Preece, Richardson (Vice-Chair), Shaw (Chair) and Shields.

Resident Representatives: Christine Blakey, Evelyn Leck and Michael Unwin.

## **6. METHODS OF INVESTIGATION**

6.1 Members of the Adult and Community Services Scrutiny Forum met formally from 18 July 2011 to 19 March 2012 to discuss and receive evidence relating to this investigation. A detailed record of the issues raised during these meetings is available from the Council's Democratic Services.

6.2 A brief summary of the methods of investigation are outlined below:-

- (a) Detailed officer reports supplemented by verbal evidence;
- (b) Presentations by officers supplemented by verbal evidence;
- (c) Verbal Evidence from the Member of Parliament for Hartlepool;
- (d) Verbal evidence from the Authority's Portfolio Holder for Adult and Public Health Services;
- (e) Presentations from North Tees and Hartlepool NHS Foundation Trust, NHS Tees and Tees, Esk and Wear Valleys NHS Foundation Trust enhanced by verbal evidence;
- (f) Presentation from the Professor of Social Care at the University of York enhanced by verbal evidence

## **7. FINDINGS**

### **DEFINING EARLY INTERVENTION AND RE-ABLEMENT SERVICES**

7.1 Members were very pleased to receive evidence from the Member of Parliament (MP) for Hartlepool; the Portfolio Holder for Adult and Public Health Services; and officers from the Child and Adult Services Department in relation to defining early intervention and re-ablement services.

#### Evidence from Iain Wright, MP

7.2 The MP informed Members that early intervention and re-ablement services are an important social issue and there is a need to design and improve

services now in order to be able to offer social care services to people as they get older. Members were informed that the country is expecting to see a rise in Alzheimer and dementia cases.

- 7.3 Hartlepool has an increasingly ageing population in comparison to other areas of the country and it is therefore expected that there will be an increase in demand for social care services in the next twenty years. The MP referred to Hartlepool's population pyramid, which shows that Hartlepool has a much older population than most towns, with the majority of people between 45 and 55 years old in comparison to the average age in other towns of 35 to 45 years old. In years to come there will be an increased demand on service provision therefore it is essential that early intervention and re-ablement services are effectively in place to try and reduce the need for high level support services which in turn will reduce financial pressures.
- 7.4 The MP was pleased to say that Hartlepool provides a high standard of social care and the services currently provided have matured as they have developed over many years, and the MP commended Elected Members and Officers for their hard work. Some neighbouring authorities are only now starting to develop services of a similar nature.
- 7.5 Members were very interested to hear that it is essential that early intervention and re-ablement services promote independence. The MP highlighted that there is emerging evidence to show that early intervention; quick identification; assessment; and well planned routes are all essential in enhancing a person's quality of life.
- 7.6 One of the main areas that the MP spoke about was partnership working and how organisations should be working together to deliver services. Hartlepool already has good working relationships with partners, for example, when people are discharged from hospital. However, one of the most important issues is that monitoring of patients should take place at regular intervals to prevent future hospital admissions. It was suggested to Members that procedures should be in place to look at people's housing situation, transport requirements, and the additional help needed to meet their needs in order to ensure that the transition from hospital is effectively and efficiently managed. This would require all organisations /agencies to work together to provide a joined up approach. However, the MP strongly emphasised that hospital admissions should be avoided in the first place and investment in preventative services can help achieve this. The MP quoted a speech from the Secretary of State for Health:-
- 'If an elderly person has a fall, for every hour he / she stays on the floor, an extra 24 hours in hospital is required'.*
- 7.7 If preventative services were all successfully in place, hospital admissions could be minimised. The Council's Head of Service for Social Care informed Members that the challenge was not about discharge but about prevention and how to slow down the numbers coming into hospital.



- 7.8 The MP spoke about improving early intervention and re-ablement services but in the context of increasingly tight budgets. The MP highlighted the need to maintain the services with a greater emphasis on partnership working. The MP posed a question to the Forum about clarity, asking whether the services should be universal and provided for all or whether targeted services should be provided for specific groups?
- 7.9 Members were informed that it was vital that people are placed in the most appropriate accommodation which is suitable for their needs. This is reliant on effective management. One of the issues raised by Members was about the need to build houses which are adaptable to people's needs.
- 7.10 The MP concluded that people want to receive good and improved services. On the whole, the services provided by the Local Authority are better than average and ahead of the game in respect of the national picture. Hartlepool Borough Council is coming from a strong base, as early intervention and re-ablement services have been developing over many years and it is now time to move forward and provide improved services within existing budgets.
- 7.11 Members questioned the involvement of the voluntary and community sector (third sector) in the delivery of services. With the Government placing more emphasis on this, Members asked the MP about the benefits of third sector involvement in the provision of services and how this involvement could be improved. The MP responded by saying that Hartlepool has a very good voluntary and community sector. It would be for the Local Authority to look at the options of providing services in house, outsourcing to the third sector or outsourcing to the private sector. However, Members expressed concern that large national companies with the capacity and the financial stability could take over large proportions of Local Authority provision and cherry pick the profitable services.
- 7.12 The Forum highlighted that one of the biggest problems with preventative services is how they are quantified. The MP responded by saying that preventative services have yet to be quantified. Although, substantial amounts of money can be saved by intervening early.

#### Evidence from the Portfolio Holder for Adult and Public Health Services

- 7.13 The Portfolio Holder informed Members that there had been a recent announcement by the Government stating that 1.7 billion pounds is available to spend on adult social care. Although, this is seen as a large sum of money, in reality due to demographic pressures, the funding of adult social care is facing a 6 billion pounds shortfall.
- 7.14 The Portfolio Holder informed Members that 75 – 85% of people now have a personal budget and can therefore choose and pay for their own care package tailored to their individual needs. This model demonstrates that social care is about individual needs based on the services that are needed to enable that individual to live independently at home.

- 7.15 The Forum was very interested to hear about the telecare / telehealth model and its benefits. The Portfolio Holder was very supportive of telecare / telehealth, as it is a vital way to help people stay at home with the security of knowing that help is on hand 24 hours a day if needed. Members were informed that currently over 700 people receive telecare / telehealth in Hartlepool. One of the issues identified was that the Council and health professionals need to work closely together to identify people who are at risk of major health problems and are likely to be admitted into hospital. Once identified it would be for all partners to proactively work together and offer appropriate preventative services which will avoid the person being admitted into hospital.
- 7.16 The Portfolio Holder believed that if evidence could be provided detailing the take up of telecare / telehealth in Hartlepool and its effectiveness and usefulness in terms of keeping people independent, then due to its relatively minor cost it should be rolled out to more people.
- 7.17 Members raised concerns about General Practitioners (GPs) dismissing patients who came to them for help, which later resulted in the patient being admitted to hospital. Members agreed that in more cases than not, the hospital admission could have been prevented if an early intervention service was organised for the patient. The Forum suggested that yearly check ups for people over a certain age would be very beneficial in order to identify health concerns at an early stage. This would allow people the chance to be invited into the surgery, rather than having to make their own appointment. Following on from this, Members agreed that a community based 'matron' system, whereby a nurse goes into the community and discusses social care / health issues with individuals / groups would be a very good idea.
- 7.18 Members raised concerns about people not knowing who to contact for services in an emergency. It was suggested by the Forum that this type of information needed to be publicised more widely.
- 7.19 Members explored the issue of funding health services, whether this is through, for example, general taxation or insurance. One suggestion for long term consideration was the option of setting up a system for Hartlepool residents, where people could willingly pay into the scheme and hence have funding to provide and improve services for all. Members thought that this would be very expensive to set up and at this point in time no funding was available but supported the idea of being involved and contributing to a more localised health service.

#### Evidence from the Child and Adult Services Department

- 7.20 Definitions of prevention, early intervention and re-ablement services were provided to Members and are as follows:-

#### *Prevention and Early Intervention*

7.21 Prevention means different things to different people and it is therefore important to have a clear understanding. The following, while having a broad focus, is helpful in categorising three elements of prevention:

- (a) Primary prevention / promoting wellbeing is aimed at people who have no particular social care needs or symptoms of illness. Activity for these people would focus on maintaining independence, good health and promoting wellbeing. Possible interventions could include providing universal access to good quality information, supporting safer neighbourhoods, promoting health and active lifestyles and delivering practical services.
- (b) Secondary prevention/early intervention aims to identify people at risk and to halt, or slow down, any deterioration and actively seek to improve their situation. Interventions could include screening and case finding to identify those at risk of specific health conditions or events (e.g. strokes, falls, etc.) or those that have existing low level social care needs.
- (c) Tertiary (specialist) prevention is aimed at minimising disability or deterioration from established health conditions or complex social care needs. The focus here is on maximising individual's functioning and independence through interventions such as rehabilitation or re-ablement services and joint management of people with complex needs.

7.22 Members were pleased to hear that low level support is offered to people to keep them at home for longer, some of the low level services include meals delivery, gardening, welfare benefits and debt management.

7.23 Members did feel that there was a communication issue in getting details of these services out to the community and also details of which services could be accessed for free. Members agreed that it would be helpful to know which services were free along with any eligibility criteria that was applied.

#### *Re-ablement*

7.24 It was highlighted to Members that there is no dictionary meaning for re-ablement and it has been described in many different ways. One definition that has been developed through work by a number of councils in the North East is:

*The essence of re-ablement is to work with individuals who have support needs to rebuild their confidence, support the development of daily living skills and promote community access and integration.*

7.25 Members were informed that re-ablement:-

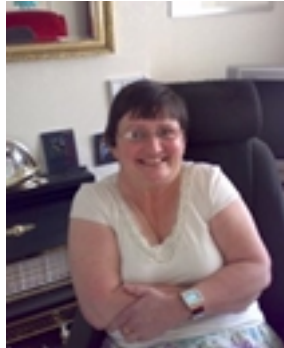
- (a) is about helping people to do things for themselves, rather than doing things for or to people;

- (b) is time limited, usually for no more than 6 weeks;
- (c) is outcome focused; the overall goal being to help people back into their own home or community;
- (d) involves setting and working towards specific goals agreed between the individual and the re-ablement team;
- (e) is a very personalised approach; the kind of support given is tailored towards the individual's specific goals and needs;
- (f) treats assessment as something that is dynamic – you cannot decide an individual's care and support package on the basis of a one-off assessment – their needs and abilities may well change over the period of re-ablement;
- (g) assumes that something should change by the end of the re-ablement intervention (i.e. working towards positive change);
- (h) builds on what people can already do and supports them to regain skills to increase their confidence and independence;
- (i) aims to maximise people's long-term independence, choice and quality of life; and
- (j) aims to reduce or minimise the need for ongoing support after the period of re-ablement.

7.26 The re-ablement approach encourages people to do more for themselves with help, for example, to cook their own meals. Other services, such as telecare provide reassurance to people, knowing that someone is at the end of the phone, if needed. Two telecare testimonials, shown overleaf, were presented to the Forum, which highlighted how this service has dramatically improved people's lives.

## Telecare Testimony 1

## Telecare Testimonials



KW is 49 years old and suffers from Multiple Sclerosis. KW said of the Telecare service “I realise that since I have had Telecare installed I feel a lot safer. I live alone and before only had my father to rely on. The service gives piece of mind for me and my family.”

KW also gave an example of how the service helped her “Once I went out into the garden in my wheelchair and got stuck in the mud. I pressed my lifeline button and got a very quick response. If I did not have Telecare I would have been stuck there for six hours until my care worker was due.”



## Telecare Testimony 2

## Telecare Testimonials



BS is 84 years old and has problems controlling her blood pressure along with mobility problems. BS said of the Telecare Service “My family have piece of mind. We have no complaints at all with the service. The staff are really nice and could not be any better.”

She also gave an example of how the service helped her “Before Telecare was installed I had fallen a few times in the house. One time I was on the floor for seven hours before anyone came. Since Telecare was installed I now have my pendent and falls detector and feel safe because of the service.”



- 7.27 Members of the Forum were informed that The Department of Health published a *Revision to the Operating Framework for the NHS in England 2010-11* in late 2010 that described some changes to payments for readmissions to hospital. These changes were linked to additional funding for re-ablement and the Department of Health widened the meaning of re-ablement to include “...recovery following an acute hospital episode,

*rehabilitation and home care re-ablement in the sense of getting the person back to the position, or improving upon, the position that they were in before the acute hospital phase (whether that be returning to employment, returning home, etc)."*

## **8. HOW EARLY INTERVENTION AND RE-ABLEMENT SERVICES CONTRIBUTE TO MAINTAINING PEOPLE'S INDEPENDENCE AND WHAT A POSITIVE OUTCOME LOOKS LIKE**

- 8.1 Members were very interested to hear how early intervention and re-ablement services contribute to maintaining people's independence and welcomed evidence from the Child and Adult Services Department.

### Evidence from the Child and Adult Services Department

- 8.2 The Forum was informed that the evidence for the effectiveness of early intervention / preventative approaches is growing stronger. Evidence from the national evaluation of the Partnerships for Older People Projects (POPP) programme and other initiatives has demonstrated that people have been able to achieve one or more of the following: increased choice and control; improved health and emotional wellbeing; maintaining personal dignity and respect and were able to make a positive contribution to the community in which they live.
- 8.3 Research suggests that re-ablement has a positive impact on people's quality of life, for example improved general health, self care, activities and mobility. Increasingly, research is showing that re-ablement services are effective in increasing users' independence and reducing their need for ongoing support after the re-ablement intervention.
- 8.4 The key features of re-ablement are helping people to do things for themselves, rather than doing things for or to people; time limited support, usually for no more than 6 weeks; being outcome focused; the overall goal being to help people back into their own home or community; and building on what people can already do and support them to regain skills to increase their confidence and independence.
- 8.5 A social care system needs to be in operation that is efficient and effective, Members were shown an overarching health and social care model which will provide this efficiency and effectiveness, as detailed in diagram 1 below.

Diagram 1 Overarching Operational Health and Social Care Model



8.6 Members were informed that clear leadership is essential with vision, values and direction of travel clearly identified. It is essential to maximise efficiency and control cuts by preventing need, encouraging self support and supporting carers through removing duplication and redesigning processes. In order to do this, one option could be to create strategic partnerships, for example collaborate and share resources; integration of health and social care and social enterprises.

8.7 Members were informed of the potential outcomes of the model, which are as follows:

- Increased number of people helped to recover from serious illness and injury;
- Increased number of people managing their own care & support and in control of what, how and when this is delivered;

- (c) Less dependency on intensive services due to earlier and targeted intervention;
- (d) More people will be physically active and live independently as there will be a delay and reduction in the need for care and support;
- (e) Fewer avoidable acute episodes by better management of the condition;
- (f) Reduction in emergency bed days associated with repeat acute admissions by more timely and co-ordinated discharge;
- (g) Re-organisation of pathways and removal of professional boundaries;
- (h) Prevention and targeted support helping people to stay independent and connected to their communities as good information and advice is made available and access to universal services is promoted; and
- (i) Clinicians, other professionals, local Councillors and the 'public' are brought together to develop neighbourhood approaches.

8.8 Members were supportive of the new model as it has been developed based on best practice and previous experiences. Members acknowledged that one of the keys to the success of this model is the voluntary and community sector. The model was based around the idea of being a good neighbour and supporting the community and Members agreed that this ethos should continue. The model provides for a co-ordinated approach with all partners.

8.9 It was felt by Members that offering training courses / apprenticeships in social care to young people would create jobs to help the local economy and also provide the social care sector with an increased work force. The Head of Service for Adult Social Care informed Members that social care traineeships were offered but it was found that once trained they moved quickly to other posts which created the issue of back filling of posts. However, it is believed that there is a need to invest in the workforce and take this issue forward as a Local Authority and develop alongside partners.

## **9. HOW EARLY INTERVENTION AND RE-ABLEMENT SERVICES ARE CURRENTLY BEING DELIVERED IN HARTLEPOOL**

9.1 The Forum was keen to examine how services were currently being delivered in Hartlepool and therefore was pleased to receive evidence from Connected Care, North Tees and Hartlepool NHS Foundation Trust and Tees, Esk and Wear Valleys Foundation Trust.

### Evidence from Connected Care

9.2 Members received evidence from Connected Care in relation to the Supported Access to Independent Living Service (SAILS). Connected Care brings together a wide range of services, activities and initiatives which are



delivered through a range of partner organisations within Hartlepool. The majority of services focus on meeting the needs of the frailest individuals with the highest level of need, in accessing extra support which helps improve their quality of life and their ability to live independently. The SAILS service in essence is a good neighbour scheme, helping people live independently and engaging people in social activities, for example luncheon clubs. A wide range of practical and social services are provided to help vulnerable elderly people live safely in their own homes. Members were informed that since November 2011, six luncheon clubs were handed over from the Council and the number of clients accessing the existing luncheon clubs was 102. Three new luncheon clubs have started with 45 people accessing the clubs. The Forum queried how people accessed the luncheon clubs and were informed that new transport projects were currently under development. Connected Care is determined to work in partnership with organisations to order to further enhance services. Access to services is a right and it is about reducing the barriers to those services.

- 9.3 Other low level support services offered through the SAILS project include hospital visits, shopping, meal delivery services and general support. There is also a handyman service that offers “that little bit of help”, which works on a Town wide basis with 711 clients currently and 1251 jobs completed.
- 9.4 Members welcomed the introduction of welfare notices, where any individual can refer a person, who they think may need some extra help or support to SAILS. The Forum was of the opinion that welfare notices should be promoted at every opportunity, for example, through the Council's magazine, Hartbeat, the Hartlepool Mail, libraries, resident associations and community groups as they are an excellent initiative. It was felt that welfare notices are not advertised well enough but noted that the notices have only been in place since November 2011 and further awareness raising and publicity is planned.
- 9.5 Members were very pleased to hear about the winter warmth initiative which cleared snow and ice from 289 pathways and sheltered accommodation schemes throughout the winter. The initiative also provided for a number of drop in sessions across the town (in partnership with Manor Residents Association and West View Advice & Resource Centre) to provide advice and guidance.
- 9.6 A housing intervention scheme is also offered in the Owton area which works with the most difficult families and individuals on a one to one basis and liaises with Joint Action Group (JAG), housing providers, police, probation service and prisons.
- 9.7 Members were informed that Connected Care work in partnership with a range of organisations including Manor Residents Association, Wharton Trust, Hartlepool Mind and Hartlepool Carers and work with a range of groups to work up funding applications.

Evidence from North Tees and Hartlepool NHS Foundation Trust and NHS Tees

- 9.8 Members were informed about the Multi Link service which is provided by the Council and the Trust. Multi Link is an intermediate care team which comprises rapid response nurses, social workers, discharge liaison team, occupational therapists and physiotherapists who are there to help adults in Hartlepool. The aim of the team is to:-
- (a) support people so that they can remain at home during an illness or following an accident;
  - (b) make sure people get the right care to support a safe and timely discharge from hospital; and
  - (c) plan a range of services and therapies with individuals and family members that help the person recover at home;
- 9.9 The Multi Link team has received national recognition as providing excellence and best practice in terms of flexible working across multi agency boundaries and improving the quality of the patient journey ('Framing the Contribution of Allied Health Professionals: Delivering High Quality Health Care – Department of Health – October 2008).
- 9.10 Members raised concerns about the patient discharge procedures and how not all staff had the same message on the procedures. Similar complaints had been received by Hartlepool LINK, particularly in relation to a lack of discharge planning and information sharing.
- 9.11 It was highlighted that there are good discharge liaison teams in place but information was not being shared across teams / departments until discharge. Members felt that the discharge should be started to be planned for at the time of the admission but this is not always happening.
- 9.12 It was clear that as far as was possible, the patient should be the first to know about their hospital discharge and the assistance they would receive when returning home. Patient confidentiality needed to be maintained, yet there seemed to be many incidences where nurses and social workers were talking to their family rather than the patient. Many may have very good reasons for not wanting their family to know the full details of their care package. It was a difficult balance but one that needed to be acknowledged.
- 9.13 Examples of the types of services / interventions available were highlighted to Members and are shown below:-

*Diagram 2 Types of services / interventions available*

<p>Continence care  Assistance with dressing/undressing  Transfers: bed, chair, toilet  Phlebotomy: deliver to path lab  Meal preparation  Blood pressure monitoring  Blood glucose monitoring  Urinalysis monitoring  Temperature monitoring</p>	<p>Mobility practice  Transfer practice  Order and fit assistive equipment  Pain monitoring  Falls risk assessment and removal of hazards  Plaster cast care  Oxygen sats monitoring  Mouth care, bathing, foot care</p>
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9.14 The case studies below highlight the benefits of multilink services:-

*Multi-link Case Study 1*

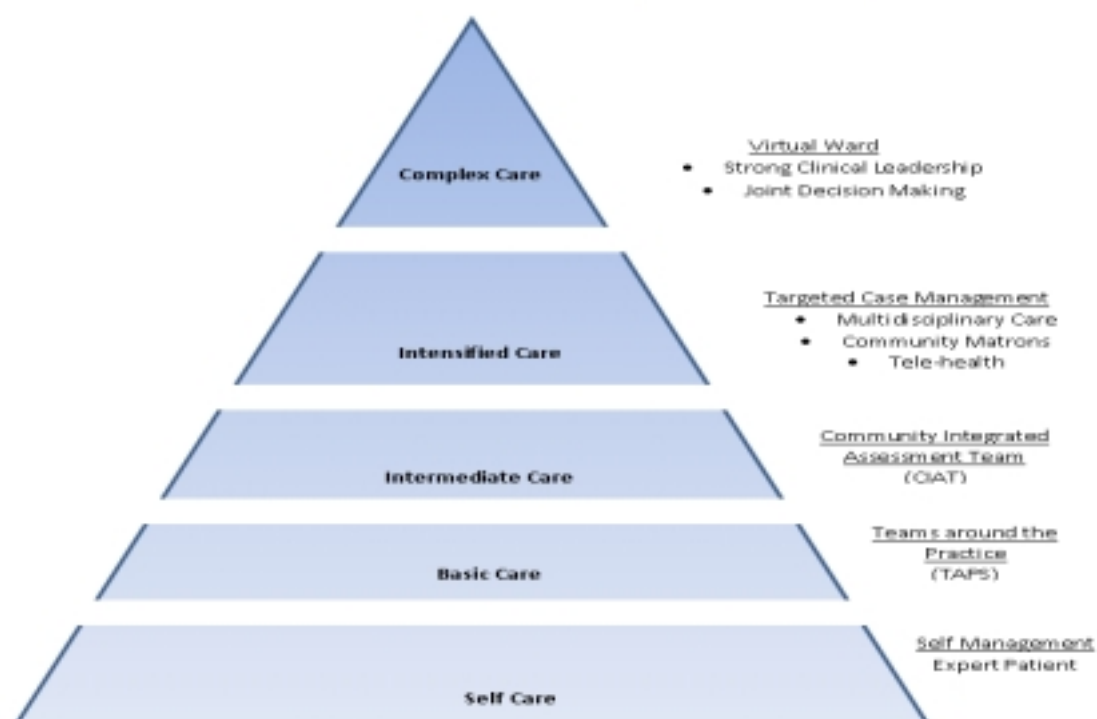
- Mr B a 91 year old man, lives alone but previously independent. Fell at the weekend due to tripping on a pavement. No bony injury but soft tissue damage significantly reduced mobility.
- The Rapid response team arranged for him to sleep downstairs and rapid assessment support workers risked assessed home and with consent removed tripping hazards. Rapid Assessment Support Worker (RASW) discussed Care Call and organised upon return to base.
- RASW visited twice per day over the weekend to assist with activities of daily living and meal preparation plus nutritional advice.
- RASW reviewed wounds and changed simple dressings with Rapid response nurse direction.
- RASW reviewed support needs and handed over to Intermediate care for further rehabilitation.
- Independence gained after 3 weeks of intermediate care.

9.15 North Tees and Hartlepool NHS Foundation Trust are in the process of developing a 'Community Renaissance' model (as shown in diagram 3), where services respond proactively to the changing health needs of the local population. Significant progress has been made in developing the model. Community Renaissance includes:-

- (a) Managing people with long term and complex conditions in their own homes;

- (b) Supporting people by integrated multi-agency teams working with GP practices in a more integrated way, providing care closer to home;
  - (c) Increasing the number of people supported by technology such as telemedicine / telecare; and
  - (d) Helping people to leave hospital safely and quickly or supporting them at home via a range of integrated intermediate and re-ablement services.
- 9.16 The Trust is working towards an integrated single point of access and a Community Integrated Assessment Team, with the aim to have this system live by April 2012.
- 9.17 Members were informed that the key to successful delivery is close partnership working with local authority providers.

*Diagram 3 The Community Renaissance Model*



- 9.18 Members welcomed this new model but felt that the term 'Community Renaissance' was not a term that people would understand and relate too.

### **Evidence from Tees, Esk and Wear Valleys NHS Foundation Trust**

- 9.19 Members were informed that Tees, Esk and Wear Valleys NHS Foundation Trust provide a range of mental health, learning disability and substance

misuse services. In relation to re-ablement services, the trust provides services to older people with mental health needs. It was highlighted to Members that within the Department of Health publication 'Ready to go? Planning the discharge and the transfer of patients from hospital and intermediate care (2010)' it states that:-

“All too often, older people are encouraged to make a permanent decision to enter a care home before they have reached their full potential. Unfortunately, this is often the only option considered for many people with dementia”.

- 9.20 The Half Way Home guidance published by the Department for Health (2009) identified that intermediate care services should be accessible to older people with mental health needs, where there is a “goal that could be addressed within a period of weeks”. It is recognised that some people may need flexibility to extend their period of intermediate care past the prescribed 6 week period.
- 9.21 Members were informed that there are a number of myths surrounding dementia and mental health, for example, that people must have physical health needs/problems to access re-ablement or intermediate care services. Members were informed that mental health services need to challenge the myths and work closely with main stream services to reduce stigma and support equal access. Members welcomed initiatives and ideas to support equal access and reduce misconceptions.
- 9.22 In terms of funding for Tees, Esk and Wear Valleys NHS Foundation Trust, £50k has recently been allocated, but it is non-recurring funding. The plans for this money are to provide a service at basic advice and liaison level, with the aim of supporting mainstream health and social care teams across Hartlepool to include people with dementia in rehabilitation/re-ablement. The focus of the service will be to:-
- (a) Improve access to mainstream intermediate care/re-ablement service provision for those with dementia;
  - (b) Help to prevent premature admission to long-term care;
  - (c) Reduce the access of long-term residential care following short-term provision;
  - (d) Provide timely, individually tailored, specialist support for those with dementia in intermediate care phases of their patient journey; and
  - (e) Promote independent living for those with dementia (home environment where possible, and with either no or the least intrusive support package necessary).
- 9.23 In order to delivery this agenda there will be a rolling programme of training and 1:1 co-working for staff working in the intermediate/re-ablement services to:
- (a) Aid management and understanding of behaviours which challenge others;

- (b) Enhance two way communications with a person who has dementia;
- (c) Increase knowledge of the different types of dementia;
- (d) Increase understanding of physical health issues and dementia;
- (e) Increase understanding of the importance of adequate nutrition and hydration;
- (f) Increase understanding of the use of meaningful activity for those with dementia; and
- (g) Increase awareness of functional mental health problems in addition to dementia, in particular depression

9.24 Members heard that funding from the Primary Care Trusts had already been received for the Middlesbrough and Redcar and Cleveland localities where a similar approach had been implemented so there was an opportunity to learn from experiences South of Tees. So far they have learnt that the provision of specialist mental health advice and liaison for those with confusion and/or dementia is valuable in helping service users gain improved access to and use of mainstream services. Only two people known to the project were deemed inappropriate for mainstream intermediate care bed use. This was based on their level of need, not diagnosis of dementia. The project was successful in preventing admission to long term care, helping people return to their home environments, and in training staff to be more aware of the potential of those with dementia. Of all referrals 61.5% returned home, only 13% went into permanent care and only 3 short term care placements became permanent (6% of referrals).

9.25 Members questioned how voluntary and community sector organisations could help the re-ablement agenda. Members were informed that the Trust has good working relationships with the voluntary and community sector organisations but do need to extend those links. Members agreed that the links with the voluntary and community sector organisations needed to be publicised more, and suggested advertising voluntary and community sector groups on, for example, leaflets and posters.

## **10. RESEARCH CARRIED OUT BY THE UNIVERSITY OF YORK**

10.1 The University of York carried out a study into 'Home Care Re-ablement Services: Investigating the Longer Term Impacts' and Members were very pleased to receive evidence on the findings of the study from Professor Caroline Glendinning.

### *Evidence from the University of York*

10.2 Members were informed that the study focused on providing evidence on the longer term impacts of home care re-ablement, by comparing outcomes for re-ablement users with those of conventional home care service users; identifying factors affecting the level and duration of benefits for service users; identifying impacts on and savings in the use of social care and other services that could offset the costs of re-ablement; and describing the content and unit costs of re-ablement services.

- 10.3 The study focussed on five Councils using a re-ablement approach and five Councils using conventional home care, users were interviewed and then re-interviewed 9-12 months later. The outcomes measured focused on health, quality of life and social care outcomes.
- 10.4 It was highlighted to the Forum that home care re-ablement services are focused around a distinctive ethos of 'doing with'/watching and encouraging, rather than 'doing for' and Members supported this. Examples used included, personal care, meal preparation, practical help, promoting medication, confidence building and advice and information. The Professor explained how home care re-ablement services are organised through dedicated re-ablement teams and highlighted the risks of a mixed approach, for example, staff delivering home care and re-ablement services could dilute the re-ablement approach.
- 10.5 Assessment and reassessment is essential and it is important for the user to define their goals. The Forum queried the average time spent with individuals in the home by Re-ablement Officers. The Professor indicated that throughout the study information was collected on the average duration of visits and duration times varied dependent upon individual needs but a flexible approach was required.
- 10.6 Members were interested to hear about the user and carer prospective of re-ablement services. The Professor emphasised that there was little initial understanding of the aims of re-ablement, however, after receiving the service users reported greater confidence, independence and motivation. Regular monitoring and frequent visits by re-ablement workers increased confidence and motivation, especially from people who had been discharged from hospital or recovering from accidents or illness. Some users would have liked more help with mobility and activities outside the home and carers would have welcomed more advice on how to maximise users' independence.
- 10.7 Members questioned whether there were various perceptions at a local level in relation to the differences between home care services and re-ablement services. It was emphasised by the Professor that all staff including carers and users of the service need to be clear about the vision and purpose of re-ablement to avoid any misunderstanding of its purpose.
- 10.8 The Professor highlighted that there are many factors that contribute to success in home care re-ablement, both internal and external factors. The internal factors included service organisation, which requires careful assessment and reassessment; user focussed care plans; flexibility; rapid access to equipment / Occupational Therapist expertise; and access to other specialist skills such as physiotherapy. Training and supervision was considered as a success factor along with the reinforcement of the re-ablement 'ethos'. In relation to the wider factors there should be a strong, shared vision of the service amongst all staff including adult social care teams and hospital discharge staff. Members were informed of the assessment process following discharge from hospital and the importance of

Senior Re-ablement Officers undertaking assessments in the home in addition to hospital based assessments was emphasised.

- 10.9 Members raised concerns about how care workers could be recognised and supported in their role as part of this process. The Professor acknowledged the time constraints placed on care workers was largely as a result of contract arrangements with providers. These issues can be addressed through the contracting process and increasing the focus on outcomes. The advantages of re-ablement services as opposed to standard home care services were emphasised.

#### Costs of Re-ablement Services and Traditional Home Care Services

- 10.10 The findings of the study indicated that re-ablement had positive impacts on health related quality of life and social care outcomes compared with conventional home care services. A typical re-ablement period (39 days) cost £2,088, which is considerably higher than conventional home care. However, re-ablement was associated with a decrease in social care service use.

#### Key Findings of the Study as outlined in 'Research Works' (2011)

- 10.11 The key findings of the study were outlined to the Forum, which were:-
- (a) That there were no net cost savings to health and social care in the first year of re-ablement, compared with conventional home care. Members were informed that home care re-ablement is almost certainly cost effective because of the improved outcomes for users.
  - (b) Re-ablement was associated with a significant decrease in subsequent social care service use. The costs of the social care services (excluding the use of re-ablement itself) used in the 12 month study period by people in the re-ablement group were 60 percent less than the costs of the social care services used by people in the home care group. However, these lower costs were almost entirely offset by the higher cost of re-ablement intervention. The average total (including re-ablement) cost per person of the social care services used by the re-ablement group was just £380 lower than the costs of the social care services used by the comparison group.
  - (c) Improvements in users' health related quality of life and social care related quality of life was evident up to ten months after re-ablement care, in comparison with users of conventional home care services.
  - (d) Taking into account any differences between the two groups at the start of the study, there was no significant difference in the average costs of healthcare services used by the re-ablement and comparison groups over the full 12 months.



**11. OPTIONS FOR SERVICE PROVISION IN THE FUTURE GIVEN THE CURRENT BUDGETARY PRESSURES AND POTENTIAL FOR NHS FUNDING TO CEASE IN MARCH 2013**

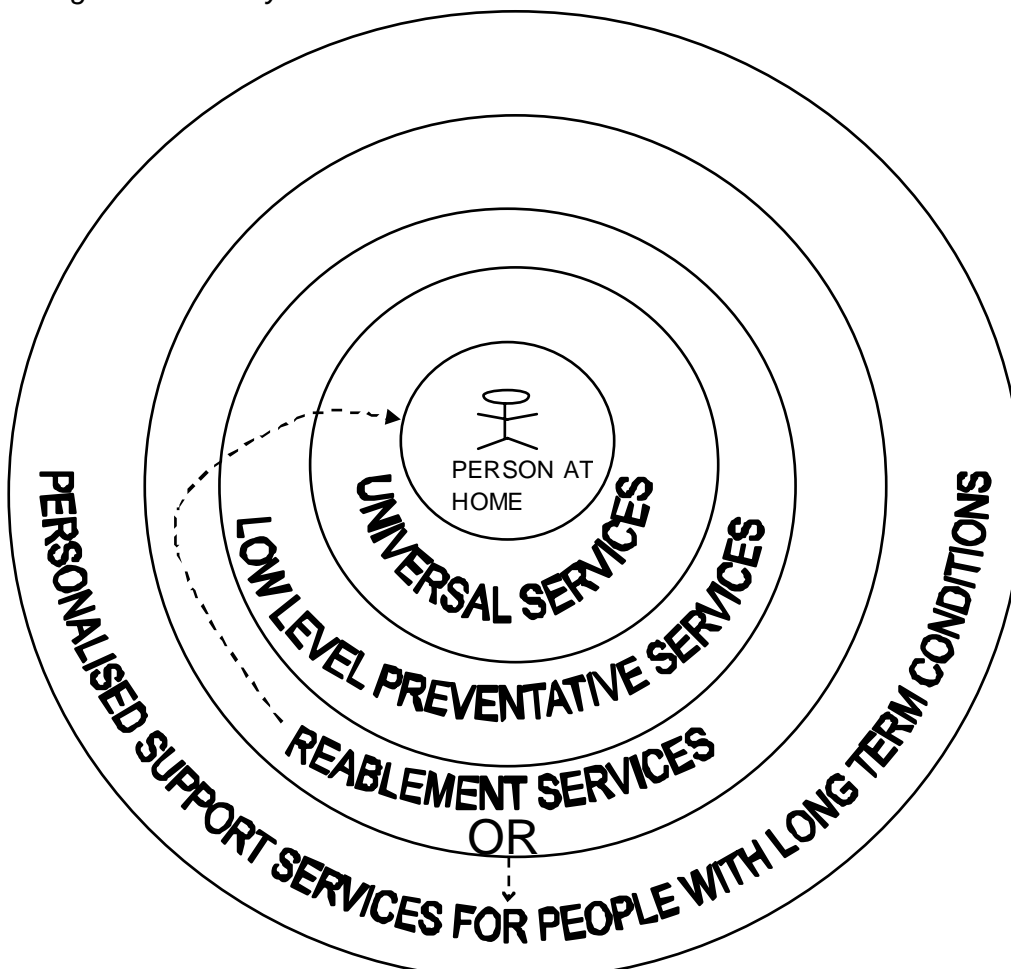
- 11.1 Members received evidence from NHS Tees and the Child and Adult Services Department on the options for future service provision and funding.

**Evidence from NHS Tees**

- 11.2 Members welcomed evidence from NHS Tees on their role. The Forum was informed that in October 2012 the Department for Health announced funding for re-ablement linked to hospital discharge. The funding received for Hartlepool in 2011/12 was £243,000 and for 2012/13 was confirmed as £600,000. Beyond this period, any savings made from reducing hospital activity would be re-invested into projects that are proven to make a difference. The Forum questioned how services can be quantified and a monetary value placed upon them. Members were informed that all packages of care have a 'tariff' and if activity levels are analysed and admissions reduced, the money saved from these admissions can then be fed back into other services.
- 11.3 Members were informed that Commissioners need not reimburse hospitals for admissions within 30 days of discharge following a planned admission with locally agreed thresholds for other readmissions. The savings made need to be invested to support improved outcomes through re-ablement and post discharge support. The Department for Health said that 'Primary Care Trusts should develop local plans in conjunction with Local Authority and Foundation / NHS Trusts and community health services on the best way of using this money to facilitate seamless care for patients on discharge from hospital and to prevent avoidable hospital readmissions'. Members were reassured that appropriate safeguarding checks were in place when commissioning services.
- 11.4 In response to this, NHS Tees set up a partnership group involving local authority and health partners which developing plans for schemes to help support re-ablement for 2011/12, and are now working on agreeing plans, by April 2012, for 2012/13.
- 11.5 In terms of next steps, Members welcomed the continued monitoring and measuring of plans to ensure that they are making a difference, and assessing what works well and what should be continued in the future.
- 11.6 Members were informed that from the end of March 2013, Clinical Commissioning Groups will take on full responsibility for re-ablement. However, Clinical Commissioning Groups are involved now in order to understand and assess what works well and how to further improve pathways to ensure more people remain independent.

Evidence from the Child and Adult Services Department

- 11.7 Members were informed of an announcement in the 2012/12 NHS Operating framework in November 2011 indicating that NHS funding for social care services would be continued for a further two years until March 2015, meaning that future funding of such services is a less immediate concern.
- 11.8 Therefore, the future for Adult Social Care and re-ablement services is based on the vision ‘that the services and support that the Council commission, enable or provide will be more personalised, more preventative and more focused on delivering the best outcomes for people’. The vision is based on six key principles, which are:
- (1) PREVENTION: keeping people well and safe in their own homes
  - (2) PERSONALISATION: person-centred services and outcomes
  - (3) PERSONAL BUDGETS: people can chose what to spend from their own pot of money
  - (4) PLURALITY: people can chose from a range of different services
  - (5) PARTNERSHIP: people and organisations work together
  - (6) PRODUCTIVITY: efficient services that give value for money
- 11.9 Diagram 4 below illustrates how all the services fit together.

*Diagram 4 Pathway of Services*

## 12. CONCLUSIONS

### 12.1 The Adult and Community Services Scrutiny Forum concluded:-

- (a) That the developing early intervention and re-ablement services are first class, however, communication and information sharing between services still remains a barrier and often leads to poorly co-ordinated hospital discharge procedures;
- (b) That due to an ageing population, early intervention and re-ablement services are essential in order to reduce pressure on services, as intervening early saves money in the long term;
- (c) That the Council has a duty to deliver these key early intervention and re-ablement services in order to safeguard vulnerable adults;
- (d) That where appropriate the person receiving the service(s), should always be spoken to first in relation to their care package before any family members;
- (e) That welfare notices are an excellent initiative and need to be promoted as widely as possible, along with low level support services, such as gardening and meal preparation;
- (f) That re-ablement services are about helping people remain independent; therefore it is about encouraging and helping people rather than actually doing the job for them;
- (g) That staff and users of the service need to be clear about the purpose of re-ablement in order for it to be effective;
- (h) That working with partner organisations, including the voluntary and community sector is the key to delivering effective and efficient services;
- (i) That services should be built around an individual's own needs and that appropriate accommodation should be provided and adaptable to a person's own needs;
- (j) That community spirit and 'good neighbours' are key elements of support for those people who do not have family members who can offer their support and this should be encouraged / promoted, where possible;
- (k) That funding for health care was an area to be further explored and Members supported the idea of being involved and contributing to a more localised health service; and
- (l) That it is difficult to retain trainees in social care once qualified and options to improve retention should be explored.

### 13. RECOMMENDATIONS

13.1 The Adult and Community Services Scrutiny Forum has taken evidence from a wide range of sources to assist in the formulation of a balanced range of recommendations. The Forum's key recommendations to the Cabinet are as outlined below:-

- (a) That the Council implements a co-ordinated approach and in doing so:-
  - (i) works with partner organisations and the voluntary and community sector to deliver and promote early intervention and re-ablement services including the use of welfare notices and low level support services; and
  - (ii) identifies as a key priority, the importance of prevention across all Council services
- (b) That the Council works closely with healthcare professionals to prevent future hospital admissions by:-
  - (i) developing an early identification process for people who are at risk of major health problems;
  - (ii) regularly monitoring patients and exploring the patients individual needs in depth; and
  - (iii) ensuring the transition from hospital is effectively and efficiently managed by improving communication across all discharge services
- (c) That the Council explores the potential to offer further apprenticeships in social care in the challenging financial climate, and explores how incentives could be used to retain trainees once qualified.

### ACKNOWLEDGEMENTS

The Committee is grateful to all those who have presented evidence during the course of our investigation. We would like to place on record our appreciation, in particular of the willingness and co-operation we have received from the below named:-

Hartlepool Borough Council:

Councillor Ged Hall – Portfolio for Adult and Public Health Services

Jill Harrison – Assistant Director - Adult Social Care

Phil Homsby – Head of Service – Adult Social Care

John Lovatt – Head of Service – Adult Social Care

External Representatives:

Ward Councillors

Iain Wright - Member of Parliament for Hartlepool;

Hartlepool LINK

Hartlepool Carers

50+ Forum

NHS Tees

Tees, Esk and Wear Valleys NHS Foundation Trust

North Tees and Hartlepool NHS Foundation Trust

Professor Caroline Glendinning - University of York

Local residents

**COUNCILLOR JANE SHAW  
CHAIR OF THE ADULT AND COMMUNITY SERVICES SCRUTINY FORUM**

**April 2012**

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**BACKGROUND PAPERS**

The following background papers were consulted or referred to in the preparation of this report:-

- (a) Report of the Scrutiny Support Officer entitled 'Scrutiny Investigation Into Early Intervention And Re-ablement Services – Scoping Report' presented to the Adult and Community Services Scrutiny Forum of 18 July 2011

- (b) Report of the Scrutiny Support Officer entitled 'Early Intervention and Re-ablement Services – Setting the Scene – Covering Report' presented to the Adult and Community Services Scrutiny Forum of 15 August 2011
- (c) Presentation of the Head of Service entitled 'Setting the Scene – Prevention, Early Intervention and Re-ablement' delivered to the Adult and Community Services Scrutiny Forum of 15 August 2011
- (d) Report of the Scrutiny Support Officer entitled 'Early Intervention and Re-ablement Services - Evidence from the Member of Parliament for Hartlepool and the Authority's Portfolio Holder for Adult and Public Health Services - Covering Report' presented to the Adult and Community Services Scrutiny Forum of 15 August 2011
- (e) Report of the Scrutiny Support Officer entitled 'How Early Intervention and Re-ablement Services are Currently Delivered in Hartlepool - Covering Report' presented to the Adult and Community Services Scrutiny Forum of 12 September 2011
- (f) Joint presentation of the Child and Adult Services Department and North Tees and Hartlepool NHS Foundation Trust entitled 'Early Intervention and Prevention – Current Arrangements' delivered to the Adult and Community Services Scrutiny Forum of 12 September 2011
- (g) Report of the Scrutiny Support Officer entitled 'Early Intervention and Re-ablement Services – Evidence from York University' presented to the Adult and Community Services Scrutiny Forum of 16 January 2012
- (h) Presentation of the Professor of Social Policy entitled 'Home Care Re-ablement Services: What do they do? What impact do they have?' delivered to the Adult and Community Services Scrutiny Forum of 16 January 2012
- (i) Report of the Scrutiny Support Officer entitled 'Supported Access to Independent Living Service (Sails) - Covering Report' presented to the Adult And Community Services Scrutiny Forum of 20 February 2012
- (j) Presentation of Connected care entitled 'Who cares North East – Connected Care' delivered to the Adult and Community Services Scrutiny Forum of 20 February 2012
- (k) Report of the Scrutiny Support Officer entitled 'Early Intervention and Re-ablement Services - Delivery of Services – Covering Report' presented to the Adult and Community Services Scrutiny Forum of 20 February 2012
- (l) Presentation of North Tees and Hartlepool NHS Foundation Trust entitled 'Early Intervention and Re-ablement Services' delivered to the Adult and Community Services Scrutiny Forum of 20 February 2012

- (m) Presentation of NHS Tees 'Re-ablement – The Role of NHS Tees' delivered to the Adult and Community Services Scrutiny Forum of 20 February 2012
- (n) Presentation of Tees, Esk and Wear Valleys NHS Foundation Trust entitled 'The Re-ablement Agenda – Tees, Esk and Wear Valleys NHS Foundation Trust Contribution' delivered to the Adult and Community Services Scrutiny Forum of 20 February 2012
- (o) Report of the Scrutiny Support Officer entitled 'Early Intervention and Re-ablement Services: Moving Forward Together: A Vision For Adult Social Care in Hartlepool– Covering Report' presented to the Adult and Community Services Scrutiny Forum of 20 February 2012
- (p) Presentation of the Assistant Director of Adult Social Care entitled 'Moving Forward Together' delivered to the Adult and Community Services Scrutiny Forum of 20 February 2012
- (q) The University of York, Research Works - The Organisation and Content of Home Care Re-ablement Services (2010),
- (r) The University of York, Research Works – Home Care Re-ablement Services: Investigating the Longer-Term Impacts (2011)
- (s) Department of Health, Framing the Contribution of Allied Health Professionals: Delivering High Quality Health Care (2008)
- (t) Department of Health, 'Ready to go? Planning the Discharge and the Transfer of Patients from Hospital and Intermediate Care (2010)
- (u) Department for Health, Half Way Home Guidance (2009)

## SCRUTINY CO-ORDINATING COMMITTEE

13 April 2012



**Report of:** Scrutiny Support Officer

**Subject:** HEALTH SCRUTINY FORUM'S FINAL REPORT –  
CANCER AWARENESS AND EARLY DIAGNOSIS

### 1. PURPOSE OF REPORT

- 1.1 To inform Members of the Scrutiny Co-ordinating Committee that presented at today's meeting will be the Health Scrutiny Forum's Final Report into 'Cancer Awareness and Early Diagnosis'.

### 2. BACKGROUND INFORMATION

- 2.1 In accordance with the Authority's Access to Information Rules, it has not been possible to include the Health Scrutiny Forum's Final Report into 'Cancer Awareness and Early Diagnosis' within the statutory requirements for the despatch of the agenda and papers for this Scrutiny Co-ordinating Committee meeting, as the Forum meet on the morning of 5 April 2012. Although, arrangements have been made for the Health Scrutiny Forum's Final Report into 'Cancer Awareness and Early Diagnosis' to be circulated under separate cover and in advance of this meeting.

### 3. RECOMMENDATION

- 3.1 Members are requested to note the content of this report and agree the Health Scrutiny Forum's Final Report into 'Cancer Awareness and Early Diagnosis'; to be circulated under separate cover in advance of this meeting.

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### BACKGROUND PAPERS

No background papers were used in the preparation of this report.



## **SCRUTINY CO-ORDINATING COMMITTEE**

**13 April 2012**



**Report of: Health Scrutiny Forum**

**Subject: FINAL REPORT – CANCER AWARENESS AND  
EARLY DIAGNOSIS**

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### **1. PURPOSE OF REPORT**

- 1.1 To present the findings of the Health Scrutiny Forum following its investigation into Cancer Awareness and Early Diagnosis.

### **2. SETTING THE SCENE**

- 2.1 At the meeting of the Health Scrutiny Forum on 11 August 2011, Members determined their work programme for the 2011/12 Municipal Year. The issue of 'Cancer Awareness and Early Diagnosis' was selected as the main scrutiny topic for consideration during the year.
- 2.2 Figures from the Department of Health in 2011 indicated that Hartlepool's death from cancer rate was 159.1<sup>1</sup> per 100,000 population under 75 years of age, although this was an improvement on the 2010 rate of 164.3<sup>2</sup> per 100,000 population, it was still comparable to the worst in England.
- 2.3 NHS Hartlepool is currently promoting the regional campaign "Be Clear on Cancer" which highlights cervical, ovarian, bowel, lung and breast cancer. The campaign also emphasises how earlier detection can save lives, with several factors being highlighted to cause longer delays for patients with cancer, these include:-
- (i) Failing to recognise early cancer symptoms;
  - (ii) Fear / reluctance to seek medical opinion on symptoms; and
  - (iii) Awareness of screening programmes to detect cancer.
- 2.4 For bowel, breast and cervical cancer there are screening programmes that patients can participate in to ensure that those cancers can be detected as early as possible, so potentially improving outcomes for patients

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<sup>1</sup> Association of Public Health Observatories, 2011

<sup>2</sup> Association of Public Health Observatories, 2010

- 2.5 Although there are many factors which can contribute to a patient developing cancer, the NHS is quite clear that:-

*“Lung cancer is one of the few cancers where there is a clear cause in many cases – smoking. Although some people who have never smoked get lung cancer, smoking causes 9 out of 10 cases”<sup>3</sup>*

### **3. OVERALL AIM OF THE SCRUTINY INVESTIGATION**

- 3.1 The overall aim of the Scrutiny investigation was to evaluate the effectiveness of the delivery of early detection and awareness raising programmes for cancer, with specific reference to smoking cessation services.

### **4. TERMS OF REFERENCE FOR THE SCRUTINY INVESTIGATION**

- 4.1 The Terms of Reference for the Scrutiny investigation were as outlined below:-
- (a) To gain an understanding of the levels of cancer in Hartlepool;
  - (b) To explore the methods for early detection and screening of cancer;
  - (c) To assess the impact and delivery of smoking cessation services; and
  - (d) To examine the impact of cancer awareness raising activities in the Town and what more can be done to improve outcomes for patients.

### **5. MEMBERSHIP OF THE HEALTH SCRUTINY FORUM**

- 5.1 The membership of the Scrutiny Forum was as detailed below/overleaf:-

Councillors S Akers-Belcher, Griffin, James G Lilley, Preece, Robinson, Shields, Simmons, Sirs and Wells.

Resident Representatives: Maureen Braithwaite, Noma Morrish and Ian Stewart

### **6. METHODS OF INVESTIGATION**

- 6.1 Members of the Health Scrutiny Forum met formally from 11 August 2011 to 5 April 2012 to discuss and receive evidence relating to this investigation. A

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<sup>3</sup> NHS, 2011

detailed record of the issues raised during these meetings is available from the Council's Democratic Services.

6.2 A brief summary of the methods of investigation are outlined below:-

- (a) Detailed Officer reports supplemented by verbal evidence;
- (b) Evidence from the Authority's Portfolio Holder for Adults and Public Health Services;
- (c) Verbal evidence received from the town's Member of Parliament;
- (d) Detailed evidence and presentation received from representatives from Tees Public Health and NHS Tees;
- (e) Comprehensive presentation from key cancer consultants and nurses from North Tees and Hartlepool NHS Foundation Trust; and
- (f) Presentation by the Director from Fresh.

## **FINDINGS**

### **7 LEVELS AND CAUSES OF CANCER IN HARTLEPOOL**

7.1 Members were very keen to understand the levels and causes of cancer in Hartlepool as a baseline from which the Forum could then assess the impact of early diagnosis and awareness raising campaigns in the Town. Evidence gathered by Members in relation to the levels and causes of cancer in Hartlepool is detailed below:-

#### **Evidence on Levels of Cancer**

7.2 When the Forum met on 6 October 2011, Members received a comprehensive presentation from the Speciality Registrar in Public Health from the Tees Public Health Directorate. This presentation extracted some key elements of a much larger piece of work compiled in conjunction with the Executive Director of Public Health into an overview of cancer in Hartlepool.

7.3 In focussing on the levels of cancer in Hartlepool, Members were concerned by the figures presented to them by the Speciality Registrar in Public Health and noted the following headline figures:-

- (i) Cancer accounted for about 37% of the shorter life expectancy between Hartlepool and England (2006-08);
- (ii) That between 1985-2008 the number of cancer cases in Hartlepool rose by 17%;

- (iii) That by comparison to paragraph 7.3(ii) the number of cancers cases in the North East rose by 12% and in the rest of England by 15%;

- 7.4 Members noted that due to the small population sample per Ward area, there was no trend demonstrating less deprived areas had less cancer cases in fact the opposite was surmised as **Chart 1** overleaf confirms. Although the data related to old Ward areas, Members recognised that there was little change in the ward boundaries for the less deprived Wards, such as Elwick and Park, which showed higher numbers of cancer rates.
- 7.5 Members did, however, acknowledge that the higher cancer levels could have been due to the age profile of the ward and the level of uptake of screening, which was statistically often higher in less deprived areas. This may have been an explanation for the level of cancer mortality rates which were considerably better in Elwick despite the higher occurrence of cancer cases, as **Chart 2** overleaf indicates.
- 7.6 Members were particularly interested in the figures for the three most common cancers and at their meeting on 6 October 2012 the Speciality Registrar in Public Health provided the information collated in **Table 1** (below) in relation to the number of new cases of cancer from 1985 – 2008.

**Table1: Percentage Change in Number of Cases of Cancer from 1985-2008 in Hartlepool**

	<b>Lung Cancer</b>	<b>Bowel Cancer</b>	<b>Breast Cancer</b>
<b>Men</b>	- 43%	+ 78%	Not Applicable
<b>Women</b>	+ 5%	+ 56%	+ 62%

- 7.7 Although overall figures for the number of lung cancer cases in Hartlepool had fallen above the levels for the North East and England and accepting that lung cancer figures for men had dropped dramatically, Members of the Health Scrutiny Forum were somewhat concerned about the increase in lung cancer in women.
- 7.8 Despite the obvious improvements in the cases of lung cancer particularly for men, Members of the Forum were very concerned about the increase in both bowel and breast cancer cases. Members learnt that the level for bowel cancer was five times higher than the North East average and ten times the level in England. Whilst in relation to breast cancer although Hartlepool was just below the North East average of 70%, this was still significantly higher than the average increase across England of 15%.

Chart 1: Age Standardised Incidence Rate for all Cancers for Hartlepool by Electoral Wards 2003-2007

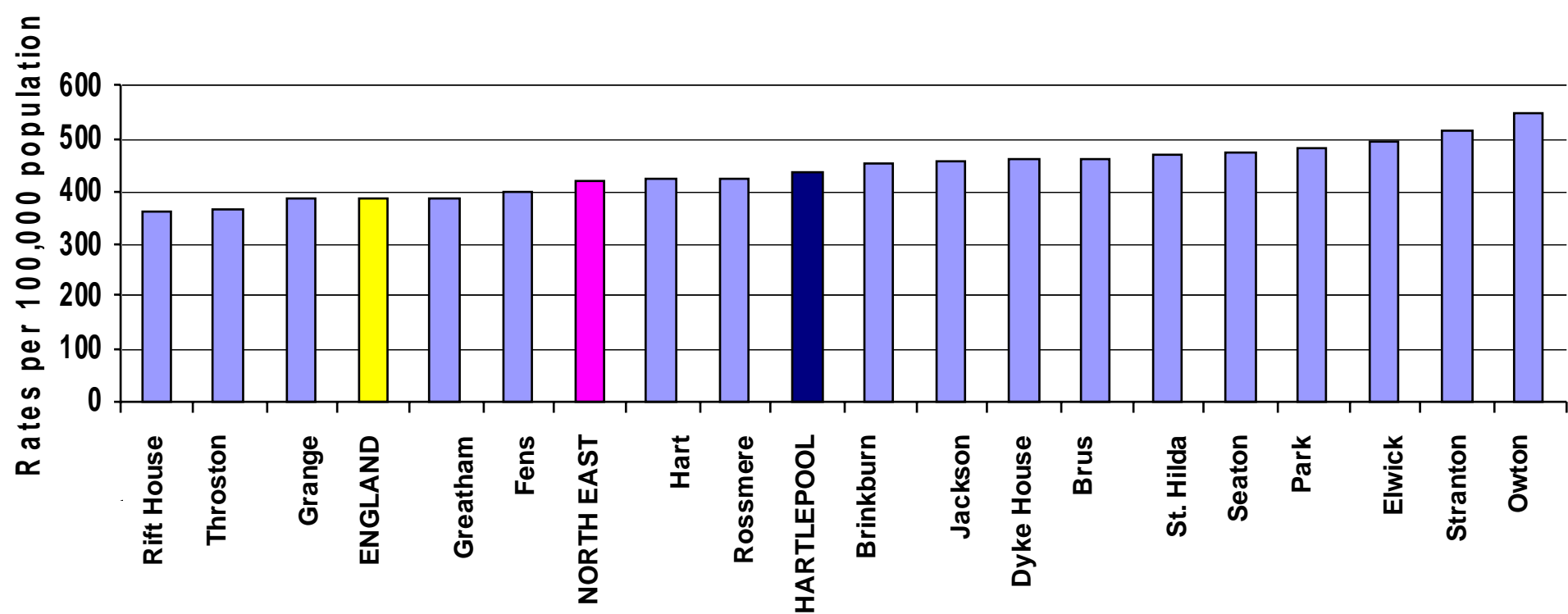
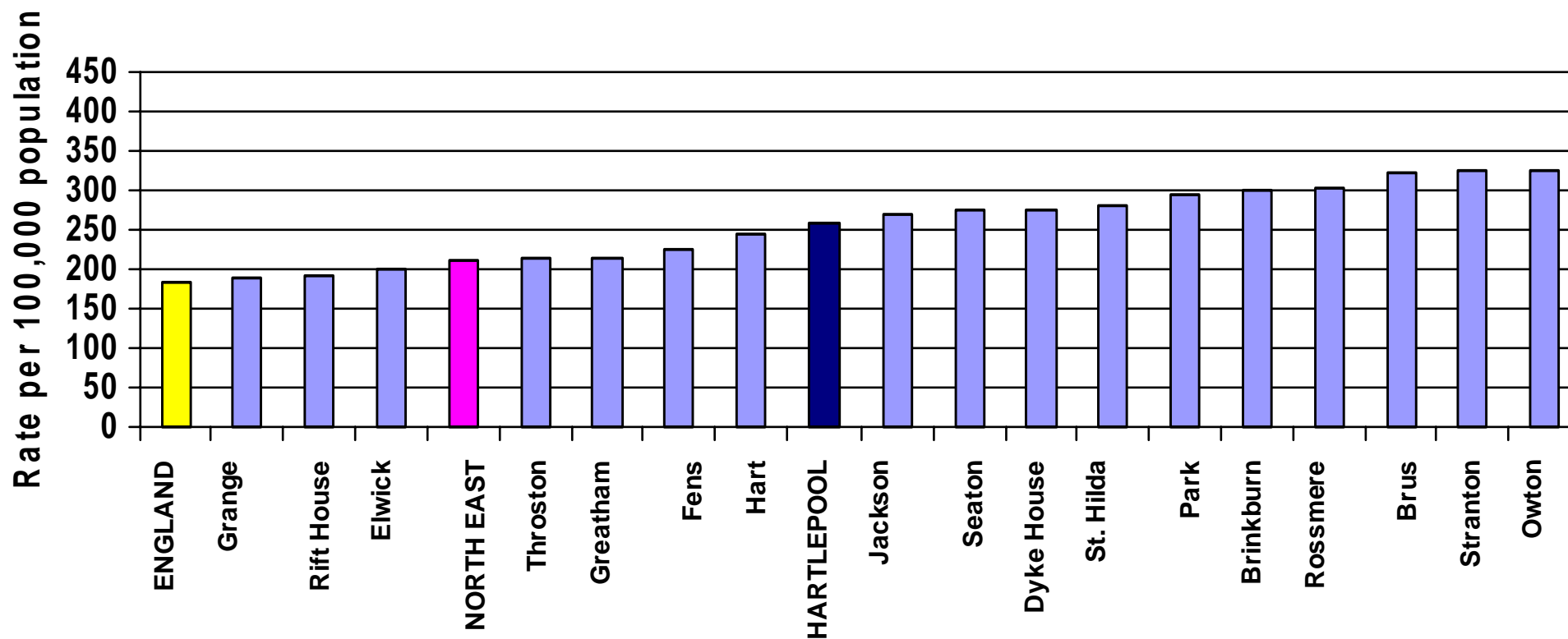


Chart 2: Age Standardised Mortality Rate for all Cancers for Hartlepool by Electoral Wards 2003-2007



## Evidence on Causes of Cancer

7.9 In addition to understanding the levels of cancer in Hartlepool, Members wished to be appraised of the causes of cancer. The Speciality Registrar in Public Health at the Tees Public Health Directorate informed Members at their meeting of 6 October 2011, that many cancers had multiple risk factors with complex relationships between these factors. There was for example statistical evidence that breast cancer was often higher in more affluent areas, however, the Speciality Registrar in Public Health categorically stated to Members that evidentially nine out of ten cases of lung cancer could be unequivocally linked to smoking.

7.10 When the Consultant Respiratory Physician at North Tees and Hartlepool NHS Foundation Trust was present at the Health Scrutiny Forum meeting on 26 January 2012, it was reiterated about the dangers of smoking causing lung cancer along with lesser factors such as exposure to radon, asbestos and other industrial carcinogens, however, Members also noted that stopping smoking at any age could reduce the risk of developing lung cancer as **Table 2** (below) detailed:-

**Table2: Risk of Male Smokers Developing Lung Cancer at 75 Based on age they Quit**

Quitting age →	Lifetime (75)	60	50	40	30
Risk of Developing lung cancer	15.9%	9.9%	6.0%	3.0%	1.7%

7.11 In relation to bowel and breast cancer it was noted by the Forum that although causes could be complex, there were certain factors that increased the risk of developing cancer. The Consultant Colorectal Surgeon at North Tees and Hartlepool NHS Foundation Trust provided the following as examples of potential cancer causing risk activities when present at the Forum meeting of 26 January 2012:-

- (i) Poor Diet;
- (ii) Smoking;
- (iii) Inactivity/ Obesity; and
- (iv) High Alcohol Intake.

7.12 Members noted that specifically a high intake of red and processed meat and food containing high levels of saturated fat increased the risk of developing bowel cancer, whilst the long term use of Hormone Replacement Therapy (HRT) could also increase the risk of developing breast cancer.

- 7.13 Health Scrutiny Forum Members highlighted concerns if there was a link between pancreatic cancer and diabetes. During the meeting on 17 November 2011, the Forum received details of a literature research undertaken by the Speciality Registrar in Public Health at NHS Tees into whether there was a link between the two diseases. Despite evidence that pancreatic cancer can cause a “diabetic state” in a person, Members agreed that it was more likely that as there were shared risk factors such as obesity and smoking for both pancreatic cancer and diabetes, that the two diseases could co-exist without one causing the other. It was, however, noted that at the moment there was insufficient evidence that there was a link.
- 7.14 During the Forum meeting of 26 January 2012, Members questioned the Consultant Colorectal Surgeon at North Tees and Hartlepool NHS Foundation Trust, about whether there had been any studies into a link between high risk industrial workers suffering from bowel cancer as a result of the ingestion of dust, such as coal particulates. The Consultant Colorectal Surgeon informed Members that although no studies could be brought to mind, often the lifestyles of high risk industrial workers were the causality of their bowel cancer.

## **8 CANCER SCREENING DELIVERY AND UPTAKE**

- 8.1 The Members of the Health Scrutiny Forum were keen to have an understanding of how cancer screening operated and the level of uptake of screening programmes in Hartlepool. The evidence gathered in relation to cancer screening is details as follows:-

### **Delivery of Cancer Screening**

- 8.2 When the Forum met on 6 October 2011, the Consultant in Public Health at NHS Tees provided Members with an overview into how cancer screening services were delivered. This evidence was supplemented with detailed evidence when the Clinical Director of Public Health and the Public Health Specialist Nurse at NHS Tees were present at the Forum meeting on 17 November 2011.
- 8.3 The Public Health Specialist Nurse emphasised, at the Health Scrutiny meeting on 17 November 2011, that screening for cancer did more good than harm and was primarily concerned with detecting changes to the body that might lead to cancer. The process by which each eligible person went through was designed to sift people out who weren't showing signs of cancerous symptoms, so that those with changes in their body which might develop into cancer could be focussed on. However, in order to continue the monitoring of changes to the body, cancer screening programmes often operated on a three yearly cycle.
- 8.4 At their meeting of 17 November 2011, Members discussed the operation of breast screening services in Hartlepool. The Public Health Specialist Nurse advised Members that there was a mobile breast screening vehicle that



operated from One Life Hartlepool and then travelled to Peterlee. Women were called for breast screening through their GP practice, once they reached the age of fifty. Members the Health Scrutiny Forum raised concerns over the age at when breast screening began and that by contacting women to attend through their GP surgery, resulted in some women being as old as 53 before they received their first screening appointment. The Public Health Specialist Nurse advised Members that from 2012 the NHS Breast Screening Programme would be extended to cover women aged 47-73, which would mean every woman being invited to participate in the breast screening programme by their fiftieth birthday.

- 8.5 Members met on 6 October 2011, where the Consultant in Public Health from NHS Tees provided the Forum with details of how the bowel cancer screening programme operated. The Consultant in Public Health advised the Forum that bowel cancer screening was directed at those between the ages of 60-69 years old; recently this had been extended to those aged 75 and could be carried out in the comfort of your own home using a free testing kit sent through the post. Members queried why bowel cancer testing was not started before people turned 60 and acknowledged that statistically bowel cancer occurred more frequently for people in their 60s. Members were not surprised that 5-10% fewer men took up the offer of bowel cancer screening than women, although the Consultant in Public Health advised Members that there was emerging evidence of a preference for flexible sigmoidoscopy (using an endoscope) rather than the perceived 'yuck' factor of the testing kit. Members were advised that flexible sigmoidoscopy was being considered as a one-off earlier test for people aged 55, but was yet to be introduced nationally.
- 8.6 During the Health Scrutiny Forum met on 17 November 2011 Members received details on cervical cancer screening. The Consultant in Public Health highlighted the improvements which had been made in cervical screening. The introduction of Liquid Based Cytology (LBC) had seen a fall in inadequate test results to 2.5% in 2009, this meant that not as many women were recalled for testing and the turnaround in results was a lot quicker. The Forum were also advised by the Consultant in Public Health that the national introduction of the Human Papilloma Virus (HPV) vaccine in 2008 should in time see a reduction in cervical cancer cases, with the two strains of HPV targeted by the vaccine accounting for 70% of the cervical cancer cases.<sup>4</sup>
- 8.7 Members had questioned why there was no screening programme for pancreatic cancer, with blood tests available which could identify those at risk. The Clinical Director of Public Health at NHS Tees explained to Members at their meeting of 17 November 2011, that while pancreatic cancer was a devastating illness that was often fatal due to the lateness at which it was detected, it did only affect a small percentage of the population. At present there was no agreed testing programme and to introduce one for such a small percentage of the population carried a risk as there was likely

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<sup>4</sup> NHS, 2010

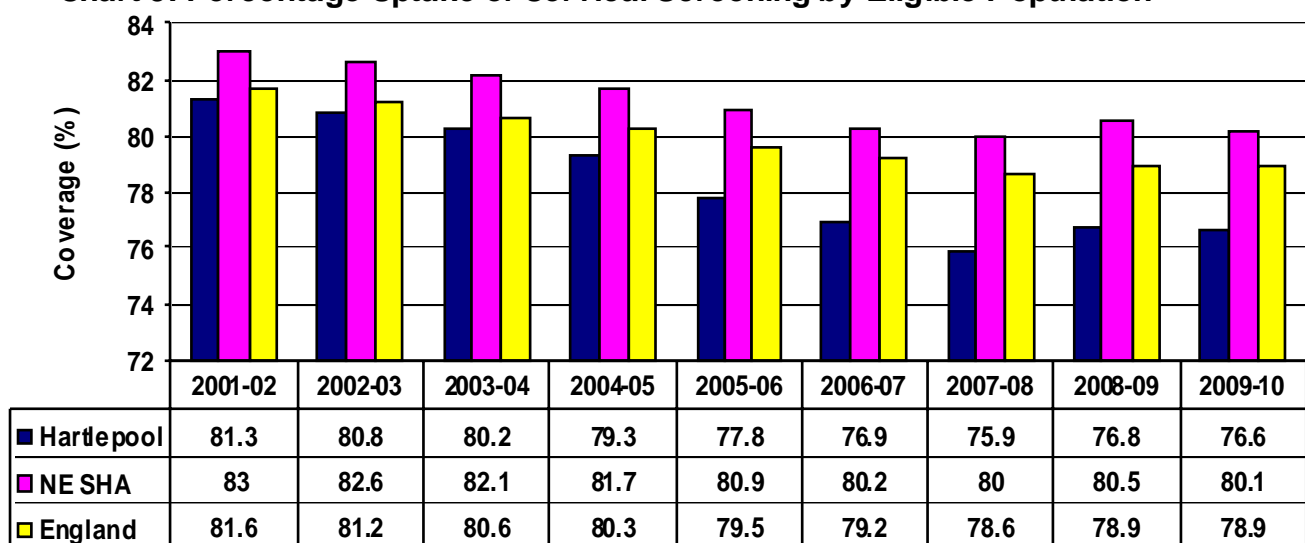
to be more ‘false positive’ results, which Members agreed could cause unnecessary anxiety for people returning positive results only to be later given the all clear. It was, however, noted by the Forum that where a person’s medical or family history indicated a predilection to the disease, a greater monitoring of that person for pancreatic cancer would normally occur.

### Uptake of Cancer Screening in Hartlepool

8.8 During the Health Scrutiny Forum meeting of 17 November 2011, Members received evidence from the Clinical Director of Public Health and the Public Health Specialist Nurse at NHS Tees in relation to the uptake of cancer screening in Hartlepool.

8.9 In relation to cervical screening, Members noted that there had been a gradual decline in the uptake as detailed in **Chart 3** (below). The Public Health Specialist Nurse emphasised to Members that the important factor was ensuring that once a woman was participating in the cervical screening programme that they continued to be involved. In relation to the screening levels indicated in **Chart 3**, Members queried the increase in cervical screening during 2008-09, which the Public Health Specialist Nurse explained could have been due to the death of the reality TV star Jade Goody from cervical cancer in March 2009.

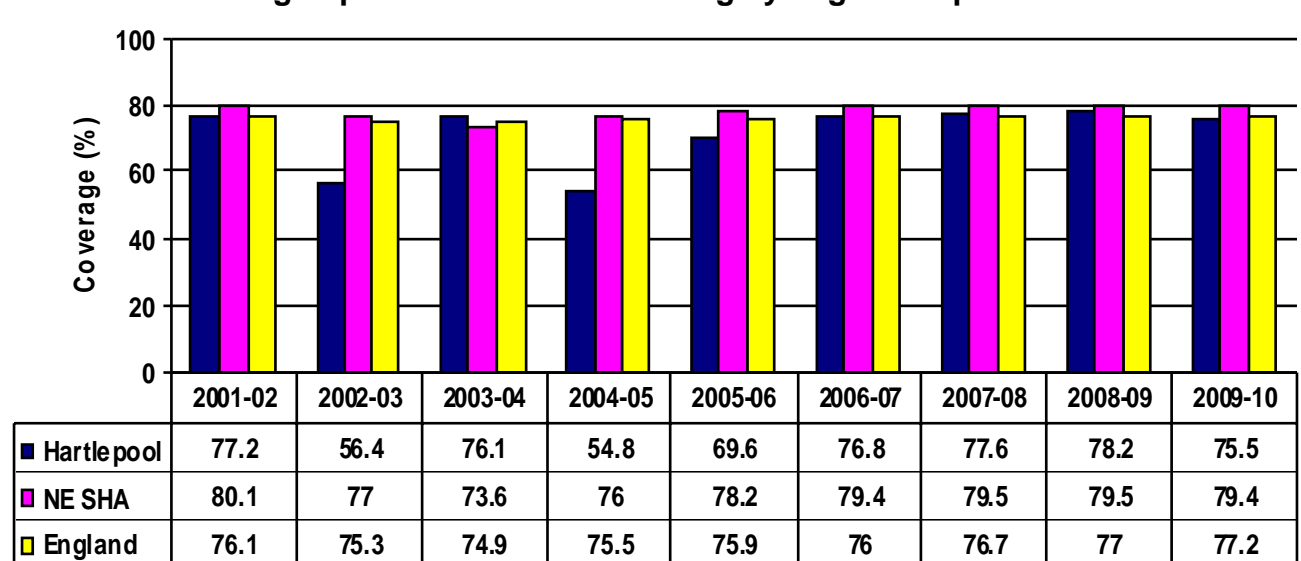
**Chart 3: Percentage Uptake of Cervical Screening by Eligible Population**



8.10 Members noted in their meeting of 17 November 2011 that although breast screening had fluctuated and not followed the gradual decline in uptake indicated by cervical screening, there was still an overall downward trend as shown in **Chart 4** (overleaf). Members recognised that some women found breast screening uncomfortable, but when the Consultant Breast Surgeon from North Tees and Hartlepool NHS Foundation Trust was present at the Health Scrutiny Forum meeting on 26 January 2012, it was highlighted that for mammograms the slogan ‘six minutes every three years might save your

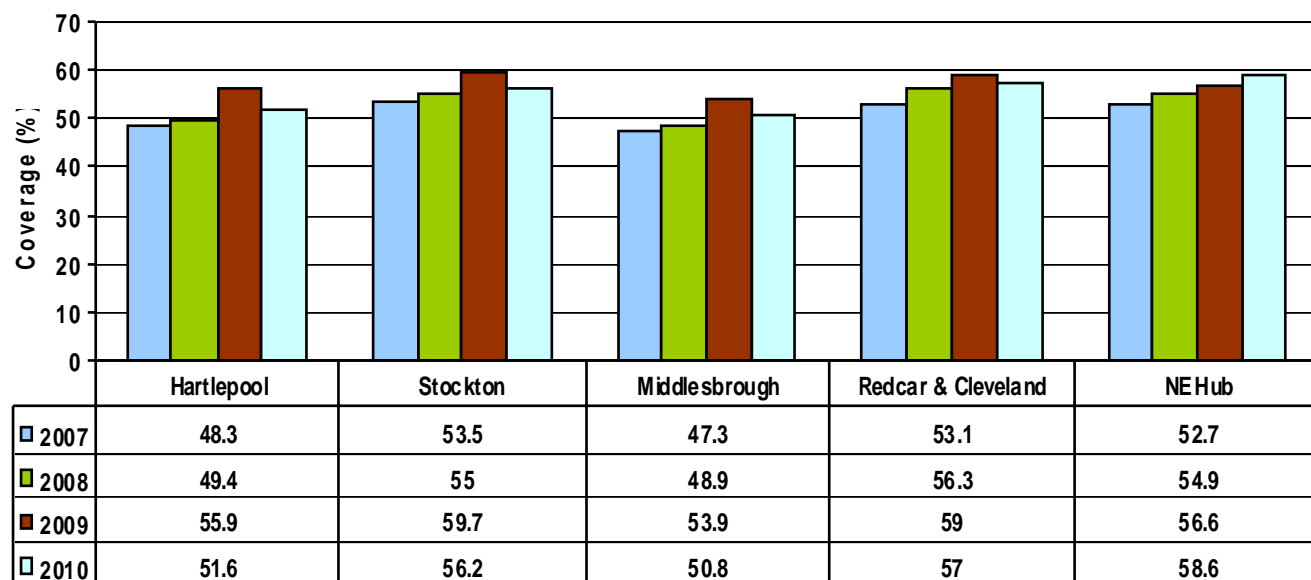
life' was a message used by staff manning the cancer screening phone calls at the Foundation Trust.

**Chart 4: Percentage Uptake of Breast Screening by Eligible Population**



- 8.11 The newest screening programme was for bowel cancer, which was introduced nationally in 2006. Members noted at their meeting of 17 November 2011 that the evidence (see **Chart 5** below) indicated after an encouraging uptake in bowel screening numbers, this had fallen during 2010; despite the overall North East average showing an uptake in figures.

**Chart 5: Percentage Uptake of Bowel Cancer Screening by Eligible Population**



- 8.12 What did concern Members of the Health Scrutiny Forum was the variation in cancer screening take-up across the Town's GP practices, which was highlighted to Members during a presentation by the Speciality Registrar in Public Health to the Forum meeting of 6 October 2011, as collated in **Table 3** overleaf. The Consultant Breast Surgeon, at the meeting on 26 January

2012, reinforced the discrepancy in relation to cancer screening take-up across GP surgeries and reflected the concerns that the cancer team had in relation to these figures, although it was noted that NHS Hartlepool were aware of these anomalies.

**Table 3: Percentage of Hartlepool Residents Attending Screening Sessions per Anonymised GP Surgery**

Hartlepool GP Practice → Screening Type ↓	A	B	C	D	E	F	G	H	I	J	K	Hartlepool PCT	England
<b>Breast</b>	70.8	53.3	71.5	65.2	74.5	65.5	71.5	64.8	67.3	52.0	75.2	68.2	71.8
<b>Cervical</b>	73.2	73.9	68.3	69.1	72.1	72.5	83.9	68.4	72.9	67.8	69.7	71.6	75.4
<b>Bowel</b>	52.4	40.1	49.3	43.1	57.6	52.9	55.0	52.3	46.7	48.4	52.2	51.2	40.2

**Key:**

 Lowest take-up of screening

 Highest take-up of screening

## 9 EARLY DETECTION OF CANCER

9.1 When the Health Scrutiny Forum met on 26 January 2012, Members received an extremely detailed presentation from the cancer team at North Tees and Hartlepool NHS Foundation Trust. The team provided Members with very detailed information about why early detection of cancer was important in relation to treatment that could be provided.

9.2 Members were advised by the Consultant Colorectal Surgeon at North Tees and Hartlepool NHS Foundation Trust that early presentation in relation to bowel cancer was very important in terms of survival rates. **Table 4** (overleaf), extracted from the NICE clinical guidelines, detailed five year relative survival rate based on the TNM stage; with TNM relating to the size of the Tumor, the lymph Nodes involved and the Metastasis (spread of cancer from one part of the body to another part)<sup>5</sup>.

<sup>5</sup> Cancer Research UK(1), 2011

**Table4: Approximate Frequency and Five Year Relative Survival (%) by TNM Stage**

TNM Stage	Approximate Frequency at Diagnosis	Approximate Five-Year Survival
I	11%	83%
II	35%	64%
III	26%	38%
IV	28%	3%

- 9.3 Although **Table 4** highlighted the need for early presentation and therefore detection of bowel cancer, Members were concerned about the stage of presentation to the Multi-Disciplinary Team (MDT) as described by the Consultant Colorectal Surgeon in **Table 5** below; the Dukes Stage being another way of quantifying the bowel cancer stage:-

**Table 5: Stage Presentation to MDT**

Dukes Stage <sup>6</sup>	University Hospital of Hartlepool		University Hospital of North Tees		TOTAL	
	Number	Percentage	Number	Percentage	Number	Percentage
<b>A</b>	17	26.6%	38	21.5%	55	22.8%
<b>B</b>	12	18.8%	39	22.0%	51	21.2%
<b>C1</b>	13	20.3%	44	24.9%	57	23.7%
<b>D</b>	11	17.2%	34	19.2%	45	18.7%
<b>No Stage</b>	11	17.2%	22	12.4%	33	13.7%
<b>TOTALS</b>	64		177		241	

- 9.4 Having heard the evidence in relation to why early detection of bowel cancer was so important for the survival rate, Members of the Health Scrutiny Forum also considered evidence, at their meeting of 26 January 2012, from the Consultant Respiratory Physician at North Tees and Hartlepool NHS Foundation Trust. The Consultant Respiratory Physician described a similar pattern about the importance of early presentation in relation to lung cancer as being more positive for the outcome of any potential treatment.

<sup>6</sup> Cancer Research UK(2), 2011

- 9.5 **Picture 1** overleaf provided Members with a graphical understanding of which part of the lung each classification stage of lung cancer related to and in conjunction with **Table 6** (below), the Members of the Health Scrutiny Forum had a clear picture of how earlier presentation at Stages I and II would dramatically increase survival rates of five years or more.

**Table 6: Lung Cancer Stage and Comparative 5 Year Survival Rate**

Stage	Non Small Cell Lung Cancer 5 Year Survival %	Small Cell Lung Cancer 5 Year Survival %
Ia	58-73 %	38 %
Ib	43-58 %	21 %
Ila	36-46 %	38 %
Ilb	25-36%	18 %
IIla	19-24 %	13 %
IIlb	7-9 %	9 %
IV	2-13 %	1 %

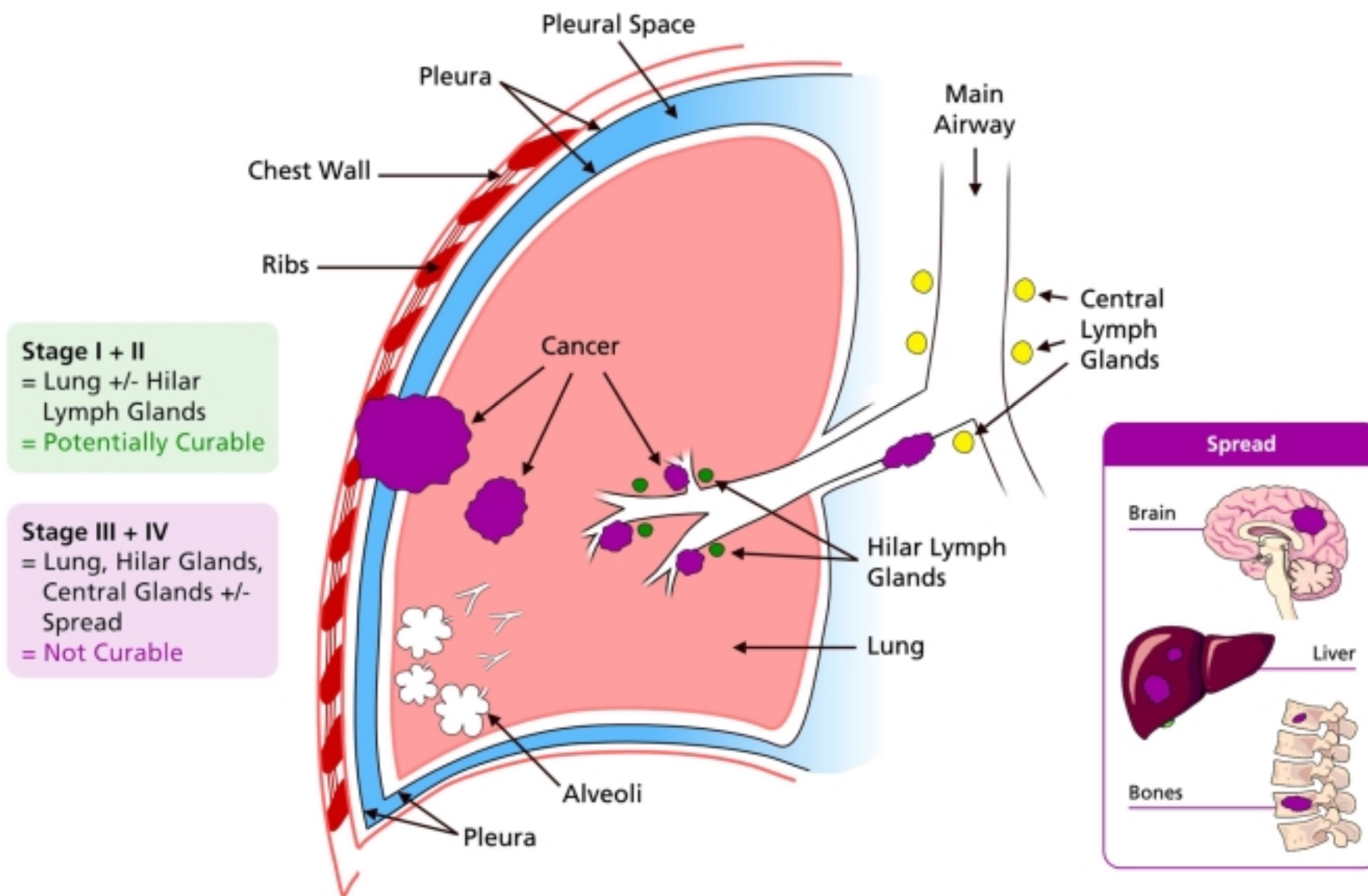
- 9.6 Members of the Forum were however, very concerned, when the Consultant Respiratory Physician presented evidence of the stages at which patients, covered by North Tees and Hartlepool NHS Foundation Trust, presented themselves and were diagnosed with having lung cancer; as detailed in **Table 7** (below). With over 70% of patients presenting at Stages III and IV, Members recognised that the outcome in terms of treatment was statistically poor and reflected lung cancer being the largest single contributor to deaths from cancer.

**Table 7: Stage at Presentation – National Lung Cancer Audit 2011**

Stage	Number (n=145) University Hospital of Hartlepool %	Number (n=170) University Hospital of North Tees %
Ia	4.1 %	10.6 %
Ib	11.7 %	7.1 %
Ila	6.9 %	4.7 %
Ilb	6.2 %	5.3 %
IIla	13.8 %	12.9 %
IIlb	11.0 %	17.1 %
IV	44.8 %	41.8 %

Picture 1:

## What is Lung Cancer? And Why Stage Matters



## 10 IMPACT AND DELIVERY OF SMOKING CESSATION SERVICES

- 10.1 Members of the Health Scrutiny Forum had recognised the importance of tackling smoking as a causality of many of the forms of cancer (see paragraph 7.11) as well as being the major contributory factor in 90% of cases of lung cancer. At their meeting of 5 April 2012 Members also considered additional evidence from ASH which sourced various studies into the effects of second hand smoke, with the Scientific Committee on Tobacco and Health (SCOTH) stating in a 2004 report that non smokers exposed to second hand smoke had a 24% increased risk of lung cancer. Members were, therefore, very interested in examining the impact of smoking cessation and other initiatives to combat the levels of smoking in Hartlepool, with evidence gathered during those meetings detailed as follows:-

### Evidence from Stockton and Hartlepool Stop Smoking Service

- 10.2 When the Health Scrutiny Forum met on 23 February 2012, the Head of Health Improvement provided details that 24.7% of adults in Hartlepool smoked regularly, with this figure rising to 31.2% for manual / routine workers and over 44% in some Wards in the Town. At the end of the 2010/11 municipal year Members were informed that 22.6% of women were recorded as smoking at the time of giving birth. Although this compared poorly with a regional average of 21.1% and a national average of 13.5%. This data was, however, tempered and it pleased Members that there had been a major improvement in reducing smoking during pregnancy which was as high as 30% only five years ago.
- 10.3 In recognising the level of the smoking problem in Hartlepool, the Forum were informed of the major impact of the Stockton and Hartlepool Stop Smoking Service in the Town. The Director from Fresh informed Members, at their meeting of 23 February 2012, that Hartlepool had a stop smoking service they should be proud of and was nationally seen as an exemplar for how stop smoking services should operate.
- 10.4 The Stop Smoking Service Manager provided the Forum, on 23 February 2012, with a very detailed breakdown of Hartlepool's performance against the other Local Authorities in the North East; as summarised in **Table 8** (overleaf).



**Table 8: Impact of Stop Smoking Services in 2010/11**

Local Authority Area	% of 'Vital Signs' <sup>7</sup> Target Achieved	% of Clients Lost to Follow-up	% of Estimated Smoking Population Accessing Stop Smoking Services <sup>8</sup>	% of Pregnant Women Smoking at Delivery Accessing Stop Smoking Service & Setting a Quitting Date
Durham	95.1 %	35.4 %	9.6 %	21.1%
Darlington	101.0 %	34.7 %	9.3 %	28.5 %
Gateshead	101.4 %	38.5 %	13.8 %	28.6 %
<b>Hartlepool</b>	<b>107.4 %</b>	<b>21.7 %</b>	<b>18.5 %</b>	<b>88.2 %</b>
Middlesbrough	98.9 %	27.4 %	12.4 %	19.3 %
Newcastle	78.2 %	28.4 %	7.1 %	25.4 %
Stockton on Tees	113.2 %	21.9 %	11.9 %	35.6 %
North Tyneside	93.2 %	26.3 %	11.2 %	24.4 %
Northumberland	100.2 %	35.1 %	12.1 %	26.2 %
Redcar & Cleveland	92.9 %	26.2 %	13.3 %	22.5 %
South Tyneside	100.6 %	38.1 %	15.0 %	22.3 %
Sunderland	101.1 %	38.9 %	12.6 %	35.9 %

- 10.5 Members were delighted that in terms of clients lost to follow up and the estimated smoking population accessing stop smoking services, Hartlepool was outperforming the other North East Local Authorities. In particular Members were impressed with the 88.2% of pregnant women accessing and setting a quitting date for their smoking, however, the Stop Smoking Service Manager informed Members that recently the Head of Community Midwifery had been involved in a restructure and the post amalgamated, it was hoped that this did not impact on the currently impressive access figures.

### **Evidence from Fresh**

- 10.6 The Director of Fresh was present at the Health Scrutiny meeting of 23 February 2012 and delivered an impassioned presentation to Members about the work of Fresh in combating the dangers of smoking. The Director for Fresh did highlight that smoking rates in the North East were declining at a faster rate than anywhere else in the country and this was mainly due to the partnership approach adopted across the region. Members were also advised that smoking should be the number one Public Health priority for the next ten years, as solving the issue would have major health benefits for the population as a whole.
- 10.7 Members of the Forum were provided with details of Fresh's campaign for plain, standardised tobacco packaging during the meeting of 23 February 2012. The Director for Fresh evidenced that two thirds of smokers begin before they are 18 years old, with the average age in the North East being 15. Fresh were very clear that there were many examples of cigarette packaging which was designed to attract young people to begin smoking and

<sup>7</sup> Vital Signs are a set of National Performance Indicators

<sup>8</sup> Based on Integrated Household Survey prevalence (October 2009 – September 2010)

Members looked at a number of examples including the cigarette packaging shown in **Picture 2** (below) and in **Appendix A**.

**Picture 2: An Example of Cigarette Packaging with a Particular Target Audience**



- 10.8 The aim of the campaign by Fresh was to discourage young people from beginning to smoke, by having plain, standardised tobacco packaging. Members were informed that the Australian Government were introducing plain packaging from December 2012 and it was hoped that the UK Government would support the proposal. In considering the evidence from Fresh, the Health Scrutiny Forum was very supportive of this approach and felt that the images used on the cigarette packaging needed to be as strong as possible, in line with the examples shown in **Picture 3** (overleaf).

**Picture 3: Examples of Plain, Standardised Packaging Proposed by Fresh**

## 11 IMPACT OF CANCER AWARENESS RAISING ACTIVITIES

- 11.1 When Members met on 23 February 2012, they considered evidence from a study carried out by Dr Una Macleod into why some cancer patients were delayed in seeking medical advice. Dr Macleod argued that:-

*“The predominant risk factor for patient delay is a lack of interpretation by patients of the serious nature of their symptoms...If a symptom is atypical, or vague in nature, the risk of delayed presentation can be increased.”<sup>9</sup>*

Dr Macleod went on to cite various studies from 2002-2009 which indicated that:-

*“General population surveys in the United Kingdom indicate a widespread lack of awareness of the symptoms of cancer...These low levels of symptom awareness may partly explain why the type of symptom and recognition of the seriousness of symptoms are consistent risk factors for delayed patient presentation.”<sup>9</sup>*

<sup>9</sup> Madeod, U. et al., 2009

- 11.2 However, Dr Macleod also highlighted that in addition to lack of awareness of cancer symptoms (as highlighted in paragraph 11.1), the various studies from 2002-2009 also made the following point that:-

*“Equally, these surveys report that people hold negative beliefs and attitudes about the benefits of seeking medical help for cancer, which include fear, embarrassment, reluctance to bother the general practitioner and nihilism about cancer treatments.”<sup>10</sup>*

- 11.3 Having considered that the evidence from Dr Macleod pointed towards an issue around public awareness of cancer symptoms, the Forum wished to focus on the impact of cancer awareness raising activities in the Town. Members recognised that awareness of cancer symptoms was a key component in ensuring early presentation and better outcomes, as supported by the evidence from the cancer team at North Tees and Hartlepool NHS Foundation Trust (see Section 9). Evidence gathered by Members in relation to cancer awareness raising activities is detailed below:-

### **Impact of the Be Clear on Cancer Programme**

- 11.4 The Cancer Awareness and Early Diagnosis Project Manager from NHS Tees provided Members with details of a survey commissioned by NHS Hartlepool entitled the Hartlepool Cancer Awareness Measure (CAM). The CAM was designed to collate people's awareness of the signs and symptoms of lung and bowel cancer. The Cancer Awareness and Early Diagnosis Project Manager informed the Forum that the first CAM undertaken in February 2011 in Hartlepool had produced the following results:-

- (i) 33% of respondents were unable to name any signs or symptoms of bowel cancer;
- (ii) 26% of respondents were unable to name any signs or symptoms of lung cancer; and
- (iii) 28% of the respondents said that they currently smoked cigarettes.

- 11.5 As a response to the results from the CAM; Members of the Health Scrutiny Forum were informed that, NHS Hartlepool started a promotion of the regional cancer awareness programme 'Be Clear on Cancer' in May 2011. This involved producing a number of resources, such as posters (see **Appendix B**), information on beer mats, bus adverts and bingo dabbers; all with the aim of increasing people's awareness of the signs and symptoms of lung and bowel cancer.

- 11.6 The Health Scrutiny Forum were made aware by the Cancer Awareness and Early Diagnosis Project Manager that a second CAM was undertaken in June 2011 to evaluate the impact of the 'Be Clear on Cancer' campaign, with

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<sup>10</sup> Madeod, U. et al., 2009

Members being delighted with the results where; 32% of respondents spontaneously identified blood in stools as a sign or symptom of bowel cancer; and 46% of respondents spontaneously identified a persistent cough as a sign or symptom of lung cancer.

- 11.7 Members were pleased to hear that the 'Be Clear on Cancer' campaign was now being run on a National basis to increase general awareness of cancer signs and symptoms, with the hope that people would present to a healthcare professional much earlier.

### **Implementation of the National Awareness and Early Diagnosis Project**

- 11.8 The Cancer Awareness and Early Diagnosis Project Manager, at the Forum meeting of 23 February 2012, emphasised that 'Be Clear on Cancer' was only one initiative aimed at raising the public's awareness of cancer signs and symptoms. Members were also informed that the implementation of the National Awareness and Early Diagnosis (NAEDI) Project by NHS Tees was another important area of improving awareness of cancer signs and symptoms.
- 11.9 The Tees NAEDI Project built on the existing Healthy Heart Check Programme; with Members recognising that Cardiovascular Disease (CVD) and cancer shared common risk factors, such as those identified by the cancer team at North Tees and Hartlepool NHS Foundation Trust in paragraph 7.11. The Cancer Awareness and Early Diagnosis Project Manager highlighted that due to the established nature of the Healthy Heart Check Programme for all 40-74 olds fitting the inclusion criteria, there was a focussed group of people that could be targeted with cancer awareness information. In addition the Forum was pleased to learn that all GP Practices in Hartlepool were participating in the NAEDI Project, which would result in all Practice staff being trained in relation to awareness of cancer signs and symptoms. This commitment by Hartlepool GPs to the NAEDI Project also ensured that the 'Be Clear on Cancer' campaign was embedded in all GP Practices across Hartlepool.

### **The Teesside Cancer Awareness Roadshow**

- 11.10 When the Health Scrutiny Forum met on 23 February 2012, the Macmillan Cancer Information and Volunteer Facilitator from NHS Tees presented to Members details of the Teesside Cancer Awareness Roadshow; which was a two year initiative funded by Macmillan Cancer Support. Members learnt that the aim of the Teesside Cancer Awareness Roadshows were to:-

*"Increase awareness of cancer symptoms, encourage uptake of NHS screening programmes and encourage people to seek help"*

- 11.11 The Forum were pleased to learn that the Teesside Cancer Awareness Roadshow could be delivered in a bespoke manner, with a number of different carnival games designed to raise the awareness of cancer signs symptoms, encourage people to actively seek help and increase take-up of

screening programmes. The Macmillan Cancer Information and Volunteer Facilitator explained to Members that the balance of the importance and potential sensitivity of the subject was not lost through the utilisation of fun elements, with the aim of embedding the messages into people's minds, rather than giving them handouts to take away.

## **12 IMPROVING OUTCOMES FOR PATIENTS**

- 12.1 Throughout the investigation into Cancer Awareness and Early Diagnosis, Members of the Health Scrutiny Forum placed great importance in discovering what more could be done to improve outcomes for patients, with the evidence gathered detailed as follows:-

### **Evidence from the Member of Parliament for Hartlepool**

- 12.2 The Forum warmly welcomed the Member of Parliament for Hartlepool to their meeting on 6 October 2011. The MP reminded Members that for all there had been real health improvements in Hartlepool, the gap between Hartlepool and the rest of the Country was still large and more still needed to be done to bridge that gap. However, the MP was clear that this was not a criticism of colleagues in the health sector who were doing a marvellous job, but that people in Hartlepool needed to present themselves a lot sooner to healthcare professionals for early diagnosis and treatment; which was particularly vital in relation to cancer.
- 12.3 The MP made a number of recommendations to the Forum in relation to where it was felt a greater impact could be made in improving outcomes:-
- (i) Encourage and Incentivise People to Come Forward and see their GP;  
Although some people are aware of cancer symptoms, they are fearful of presenting themselves as they see it as a 'death sentence' and with the advances in treatment, this now was not necessarily the case.
  - (ii) Targeted Screening;  
This could be very effective at increasing screening uptake by delivering it at venues such as the football club, hairdressers and local employers including the Council.
  - (iii) Good Practice in Other Areas;  
Doncaster had achieved much success in getting men to attend screening sessions earlier. With the statistics pointing to men in their 60s presenting with cancer, screening was focussed on men in their 50s to diagnose cancers early, therefore, resulting in better outcomes in many cases.
- 12.4 In concluding evidence to the Forum, the MP was very clear that even in a time when finances were tight, it would be a mistake to move from

prevention and early diagnosis activities to treatment, as this would result in fire fighting the disease, this in the MP's view would be a false economy particularly when the evidence pointed towards better outcomes as a result of earlier presentation.

### **Evidence from the Portfolio Holder for Adults and Public Health Services**

- 12.5 When the Forum met on 6 October 2011, Members were delighted to receive evidence from the Portfolio Holder for Adults and Public Health Services. The Portfolio Holder reflected on the increasing Public Health role that the Council would be taking on board through the Health and Social Care Bill. The Portfolio Holder felt that the increased influence in Public Health could only be beneficial in strengthening the Council's ability to improve outcomes through closer partnership working as advocated through the formation of the Health and Wellbeing Board.
- 12.6 In reflecting on what more could be done to improve outcomes, the Portfolio Holder reminded the Forum of the Town's industrial past and that although the messages on a healthier lifestyle, cancer, obesity and smoking should continue and be improved where possible, there needed to be a recognition that impact on health improvement statistics could still take some time to come through.
- 12.7 The Portfolio Holder did recommend to Members of the Health Scrutiny Forum that the challenge was how to raise awareness without coming across the audience as being patronising. The Portfolio Holder felt that the work done by the British Heart Foundation in targeting young children about the importance of a healthy lifestyle which then fed into the family was a good example of how health outcomes could be improved without directly mentioning cancer.

### **Evidence from North Tees and Hartlepool NHS Foundation Trust**

- 12.8 When the cancer team from North Tees and Hartlepool NHS Foundation Trust was present at the Forum meeting of 26 January 2011, the team provided details of suggestions for how outcomes could be improved for cancer patients, with the common themes as follows:-
- (i) Encourage greater participation in screening;
  - (ii) Raise awareness of cancer symptoms;
  - (iii) Reduction in obesity;
  - (iv) Sensible alcohol intake;
  - (v) Healthy lifestyle; and
  - (vi) Regular physical lifestyle.

12.9 In addition to the recommendations identified under paragraph 12.8, the Consultant Respiratory Physician commented, that in relation to lung cancer and its inextricable link to smoking for 90% of cases:-

- (i) It was a key issue to ensure children did not start smoking; and
- (ii) Where people were helped to stop smoking that this was done in a positive, supportive and non blame manner; promoting healthy environments and how the risk of lung cancer could be reduced when quitting at any age.

### **13 CONCLUSIONS**

13.1 The Health Scrutiny Forum concluded:-

- (a) That cancer is a major cause of ill health and death in Hartlepool ;
- (b) That the vast majority of cancer cases are caused by lifestyle issues such as lack of physical activity and poor diet;
- (c) That for lung cancer there is an inextricable link for 90% cases with the patient being a smoker;
- (d) That quitting smoking at any age can reduce the risk of contracting lung cancer;
- (e) That earlier diagnosis can significantly improve the outcomes of cancer treatment;
- (f) That not being aware of cancer signs and symptoms is one of the barriers to early presentation to health care professionals;
- (g) That bowel, breast and cervical screening is not about finding cancer, but to look for the changes in a patients body which may lead to cancer;
- (h) That there has been a gradual decline in people attending screening programmes in Hartlepool, with Hartlepool falling behind the North East and England averages for screening take-up;
- (i) That Hartlepool has a very good stop smoking service which is nationally recognised as an example of good practice; and
- (j) That although all GP Practices in Hartlepool have been involved in the 'Be Clear on Cancer' programme, there are still significant differences for screening take-up between GP practices.



## 14 RECOMMENDATIONS

14.1 The Health Scrutiny Forum has taken evidence from a wide range of sources to assist in the formulation of a balanced range of recommendations. The Forum's key recommendations to the Cabinet and partner health organisations are as outlined below:-

- (a) That in relation to the Teesside Cancer Awareness Roadshow:-
  - (i) Hartlepool Borough Council hosts a Roadshow ensuring messages are embed in the Council's health and wellbeing promotion to staff; and
  - (ii) Hartlepool Borough Council encourages appropriate Town based community venues and events to host a Teesside Cancer Awareness Roadshow.
- (b) That Hartlepool's Health and Wellbeing Board ensures that Stop Smoking Services and smoking cessation is embedded in the JSNA;
- (c) That in relation to the issue surrounding whether there is a link between high risk industrial workers and the contraction of cancers through the ingestion of particulates, such as coal dust:-
  - (i) The Public Health Directorate at NHS Tees carries out a literature research into the topic; and
  - (ii) That in relation to recommendation c(i) this information is shared with the Health Scrutiny Forum;
- (d) That NHS Hartlepool and the emerging Clinical Commissioning Group:-
  - (i) Ensure that cancer screening levels are improved across GP Practices in Hartlepool; and
  - (ii) Devise and share a strategy with the Health Scrutiny Forum for targeting cancer screening and awareness activity in the workplace / venues where residents gather socially; building on the good practice of those workplaces who employ nurses.
- (e) That the evidence about the impact of the role of the former Head of Community Midwifery in encouraging access to stop smoking services by pregnant women, be emphasised with North Tees and Hartlepool NHS Foundation Trust to seek assurances for its continued impact, following recent post restructuring;

- (f) That Hartlepool Borough Council, through its new Public Health responsibility, ensures that young people in schools and youth groups receive appropriate hard hitting messages about the cancer risk of smoking, alcohol and poor diet;
- (g) That in line with the smoke free workplace, as detailed in the Health Act 2006, Hartlepool Borough Council develops a strategy with partner organisations that:-
  - (i) Educates licensed taxi drivers about the effects of passive smoking, reminding them of the legislation of not smoking in the workplace; and
  - (ii) Determines appropriate enforcement options for licensed taxi drivers who are in breach of the smoke free workplace.

## ACKNOWLEDGEMENTS

The Committee is grateful to all those who have presented evidence during the course of our investigation. We would like to place on record our appreciation, in particular of the willingness and co-operation we have received from those named overleaf:-

### Hartlepool Borough Council:

Councillor Ged Hall – Former Portfolio Holder for Adults and Public Health Services

Louise Wallace – Assistant Director for Health Improvement

Carole Johnson – Head of Health Improvement

Pat Marshall – Stop Smoking Service Manager

### External Representatives:

Iain Wright – Member of Parliament for Hartlepool

Dr Victoria Ononeze – Speciality Registrar in Public Health, Tees Public Health Directorate

Madeleine Johnson – Consultant in Public Health, NHS Tees

Laura McGuinness – Cancer Awareness and Early Diagnosis Project Manager, NHS Tees

Dr Toks Sangowawa – Clinical Director of Public Health, NHS Tees

Rachel Fawcett – Public Health Specialist Nurse, NHS Tees

Mr Mat Tabaqchali – Consultant Colorectal Surgeon, North Tees and Hartlepool NHS Foundation Trust

Norma Robinson – Lead Colorectal Nurse Specialist, North Tees and Hartlepool NHS Foundation Trust

Dr Neil Leitch – Consultant Respiratory Physician, North Tees and Hartlepool NHS Foundation Trust

Tessa Fitzpatrick – Macmillan Lung Specialist Nurse, North Tees and Hartlepool NHS Foundation Trust

Mr Colm Hennessy – Consultant Breast Surgeon, North Tees and Hartlepool NHS Foundation Trust

Jan Harley – Lead Breast Nurse Specialist / Lead Cancer Nurse, North Tees and Hartlepool NHS Foundation Trust

Aisal Rutter – Director, Fresh

Pete Moody – Macmillan Cancer Information and Volunteer Facilitator, NHS Tees

**COUNCILLOR STEPHEN AKERS-BELCHER  
CHAIR OF THE HEALTH SCRUTINY FORUM**

**April 2012**

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**BACKGROUND PAPERS**

The following background papers were consulted or referred to in the preparation of this report:-

- (i) Report of the Scrutiny Support Officer entitled 'Scrutiny Investigation into Cancer Awareness and Early Diagnosis – Scoping Report' presented at the meeting of the Health Scrutiny Forum of 8 September 2011

- (ii) The Association of Public Health Observatories (2011), *Health Profile 2011 Hartlepool*, Available from: [http://www.apho.org.uk/default.aspx?QN=HP\\_METADATA&AreaID=50333](http://www.apho.org.uk/default.aspx?QN=HP_METADATA&AreaID=50333) (Accessed 15 August 2011)
- (iii) The Association of Public Health Observatories (2010), *Health Profile 2010 Hartlepool*, Available from: [http://www.apho.org.uk/default.aspx?QN=HP\\_METADATA&AreaID=50333](http://www.apho.org.uk/default.aspx?QN=HP_METADATA&AreaID=50333) (Accessed 15 August 2011)
- (iv) NHS (2011), *Lung Cancer*, Available from: <http://www.beclearoncancer.co.uk/lung-cancer> (Accessed 15 August 2011)
- (v) Presentation by Assistant Director for Health Improvement entitled 'Cancer in Hartlepool: An Overview' delivered to the Health Scrutiny Forum meeting of 6 October 2011
- (vi) Report of the Executive Director of Public Health and Speciality Registrar in Public Health, Tees Public Health Directorate entitled 'Cancer in Hartlepool: An Overview' presented at the meeting of the Health Scrutiny Forum of 6 October 2011
- (vii) Report of the Scrutiny Support Officer entitled 'Cancer Awareness and Early Diagnosis – Evidence from Member of Parliament for Hartlepool and the Portfolio Holder for Adult's and Public Health – Covering Report' presented at the meeting of the Health Scrutiny Forum of 6 October 2011
- (viii) Report of the Scrutiny Support Officer entitled 'Scrutiny Investigation in to Cancer Awareness and Early Diagnosis – Setting the Scene Presentation – Covering Report' presented at the meeting of the Health Scrutiny Forum of 6 October 2011
- (ix) Report of the Scrutiny Support Officer entitled 'Cancer Screening – Covering Report' presented at the meeting of the Health Scrutiny Forum of 17 November 2011
- (x) Report of the Tees Valley Health Scrutiny Joint Committee entitled 'Cancer Screening Across the Tees Valley – Final Report' presented at the meeting of the Health Scrutiny Forum of 17 November 2011
- (xi) Report of the Scrutiny Support Officer entitled 'Pancreatic Cancer and Diabetes' presented at the meeting of the Health Scrutiny Forum of 17 November 2011
- (xii) Report of the Speciality Registrar in Public Health, NHS Tees entitled 'Pancreatic Cancer and Diabetes – Is there Evidence of a Link?' presented at the meeting of the Health Scrutiny Forum of 17 November 2011

- (xiii) Presentation of the Public Health Specialist Nurse, NHS Tees entitled 'The Role of Screening in Cancer Awareness' delivered to the Health Scrutiny Forum meeting of 17 November 2011
- (xiv) Report of the Scrutiny Support Officer entitled 'Evidence from North Tees and Hartlepool NHS Foundation Trust – Covering Report' presented at the meeting of the Health Scrutiny Forum of 26 January 2012
- (xv) NHS (25 November 2011) Waiting times for suspected and diagnosed cancer patients: quarter ending September 2011, Available from: <http://www.dh.gov.uk/health/2011/11/cancer-waiting-times/> (Accessed 10 January 2012)
- (xvi) Presentation of the Consultant Colorectal Surgeon, North Tees and Hartlepool NHS Foundation Trust entitled 'Cancer Awareness and Early Diagnosis' delivered to the Health Scrutiny Forum of 26 January 2012
- (xvii) Presentation of the Consultant Colorectal Surgeon, North Tees and Hartlepool NHS Foundation Trust entitled 'Bowel Cancer – A Secondary Healthcare Perspective' delivered to the Health Scrutiny Forum of 26 January 2012
- (xviii) Presentation of the Consultant Respiratory Physician, North Tees and Hartlepool NHS Foundation Trust entitled 'Lung Cancer – A Secondary Healthcare Perspective' delivered to the Health Scrutiny Forum of 26 January 2012
- (xix) Presentation of the Consultant Breast Surgeon, North Tees and Hartlepool NHS Foundation Trust entitled 'Breast Cancer – A Secondary Healthcare Perspective' delivered to the Health Scrutiny Forum of 26 January 2012
- (xx) Report of the Scrutiny Support Officer entitled 'Evidence on Smoking Cessation – Covering Report' presented at the meeting of the Health Scrutiny Forum of 23 February 2012
- (xxi) Fresh (2011), *Smoke Free North East*, Available from: <http://www.freshne.com/> (Accessed 6 February 2012)
- (xxii) Report of the Scrutiny Support Officer entitled 'Evidence on Cancer Awareness – Covering Report' presented at the meeting of the Health Scrutiny Forum of 23 February 2012
- (xxiii) NHS Hartlepool (2012), *Cancer Roadshow*, Available from: <http://www.hartlepool.nhs.uk/content/page.aspx?page=394> (Accessed 7 February 2012)
- (xxiv) Macleod, U. Mitchell, ED. Burgess, C. Macdonald, S. Ramirez, AJ (2009) 'Risk factors for delayed presentation and referral of symptomatic cancer: evidence of common cancers' *British Journal of Cancer*, [Online] paper no. 101. Available from:

- <http://www.nature.com/bjc/journal/v101/n2s/full/6605398a.html> (Accessed 7 February 2012)
- (xxv) NHS (2010), *HPV vaccine – Why it is Needed*, Available from: <http://www.nhs.uk/Conditions/HPV-vaccination/Pages/Why-it-should-be-done.aspx> (Accessed 17 February 2012)
- (xxvi) Cancer Research UK (1) (2011), *TNM and number stages of bowel cancer*, Available from: <http://cancerhelp.cancerresearchuk.org/type/bowel-cancer/treatment/tnm-and-number-stages-of-bowel-cancer> (Accessed 21 February 2012)
- (xxvii) Cancer Research UK (2) (2011), *Duke's staging of bowel cancer*, Available from: <http://cancerhelp.cancerresearchuk.org/type/bowel-cancer/treatment/dukes-stages-of-bowel-cancer> (Accessed 21 February 2012)
- (xxviii) Presentation of the Macmillan Cancer Information and Volunteer Facilitator, NHS Tees entitled 'Teesside Cancer Awareness Roadshow' delivered to the Health Scrutiny Forum of 23 February 2012
- (xxix) Presentation of the Cancer Awareness and Early Diagnosis Project Manager, NHS Tees entitled 'Cancer Awareness and Early Diagnosis Initiatives' delivered to the Health Scrutiny Forum of 23 February 2012
- (xxx) Presentation of the Director, Fresh entitled 'Plain, Standardised Tobacco Packaging' delivered to the Health Scrutiny Forum of 23 February 2012
- (xxxi) Presentation of the Stop Smoking Service Manager entitled 'Stockton & Hartlepool Stop Smoking Service' delivered to the Health Scrutiny Forum of 23 February 2012
- (xxxii) Presentation of the Head of Health Improvement entitled 'Smoking & Tobacco Control' delivered to the Health Scrutiny Forum of 23 February 2012
- (xxxiii) Macleod, U. Mitchell, ED. Burgess, C. Macdonald, S. Ramirez, AJ (2009) 'Risk factors for delayed presentation and referral of symptomatic cancer: evidence of common cancers' *British Journal of Cancer*, [Online] paper no. 101. Available from: <http://www.nature.com/bjc/journal/v101/n2s/full/6605398a.html> (Accessed 7 February 2012)
- (xxxiv) Report of the Scrutiny Support Officer entitled 'Information on Second Hand Smoke' presented at the meeting of the Health Scrutiny Forum of 5 April 2012.
- (xxxv) Ash (2011), *ASH Fact Sheets: Second Hand Smoke*, Available from: [http://www.ash.org.uk/files/documents/ASH\\_113.pdf](http://www.ash.org.uk/files/documents/ASH_113.pdf) (Accessed 6 March 2012)

(xxxvi) Minutes of the Health Scrutiny Forum of 11 August 2011, 8 September 2011, 6 October 2011, 17 November 2011, 26 January 2012, 23 February 2012 and 5 April 2012.

## Appendix A



# PLAIN PACKS PROTECT

## CIGARETTE PACK DESIGNS

The **Plain Packs Protect** campaign wants all cigarettes in plain standardised packs. The evidence is clear that plain packs are:

- less attractive, especially to young people;
- strengthen the impact of health warnings; and
- make the packs less misleading.

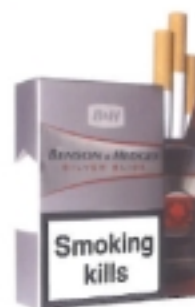
Tobacco companies describe current packs as '*mobile advertising for the brand*' - help stop this by signing up to [www.plainpacksprotect.co.uk](http://www.plainpacksprotect.co.uk)



Popular brands with children



Designed to attract young women



New designs are coming on the market all the time



Appendix B

Be Clear on Cancer Posters



Dr Philip Sawyer

**If you've been coughing for 3 weeks, it might not be 'only a cough', so just tell me.**

A persistent cough could be a sign of lung cancer. Finding it early makes it more treatable, so tell your doctor.

**BE CLEAR ON CANCER**  
nhs.uk/lungcancer



Dr Terry Gowley

**Just tell me**

**If you've had blood in your poo or looser poo for 3 weeks, your doctor wants to know.**

It could be the early signs of bowel cancer. Finding it early makes it more treatable and could save your life.

**BE CLEAR ON CANCER**  
nhs.uk/bowelcancer

## **SCRUTINY COORDINATING COMMITTEE**

**13 April 2012**



**Report of: Neighbourhood Services Scrutiny Forum**

**Subject: FINAL REPORT – PRIVATE SECTOR HOUSING SCHEMES**

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### **1. PURPOSE OF REPORT**

- 1.1 To present the findings of the Neighbourhood Services Scrutiny Forum following its investigation into Private Sector Housing Schemes.

### **2. SETTING THE SCENE**

- 2.1 At the meeting of Scrutiny Co-ordinating Committee on 24 June 2011 Members determined their work programme for the 2011/12 Municipal Year. The topic of Private Sector Housing Schemes was selected by the Neighbourhood Services Scrutiny Forum as its topic of investigation to run from July 2011 until February 2012.
- 2.2 A number of private sector housing schemes are currently operated by Hartlepool Borough Council, these include the Selective Licensing, Landlord Accreditation, Good Tenant and Empty Homes schemes. The schemes aim to improve the areas in which they operate in a number of ways, including improving the condition and management of properties in the private rented sector, reducing anti social behaviour and developing stronger more sustainable communities where landlords, tenants and community members enjoy the benefit of good dwelling conditions, competent management and considerate neighbourly behaviour.

### **3. OVERALL AIM OF THE SCRUTINY INVESTIGATION**

- 3.1 The overall aim of the Scrutiny investigation was to explore and evaluate private sector housing schemes in place in Hartlepool, specifically Selective Licensing, Landlord Accreditation, Empty Homes and the Good Tenant Schemes.

#### 4. TERMS OF REFERENCE FOR THE SCRUTINY INVESTIGATION

4.1 The Terms of Reference for the Scrutiny investigation were as outlined below:-

(a) To gain an understanding of private sector housing schemes in operation in Hartlepool to include:-

- Selective Licensing;
- Landlord Accreditation;
- Empty Homes Scheme;
- Good Tenant Scheme.

(b) To explore/evaluate the following:-

- (i) the effectiveness of current private sector housing schemes operating in Hartlepool in achieving desired outcomes;
- (ii) schemes which have proven successful in other areas (giving due consideration to demographics, housing types and nature of the housing problems in Hartlepool when considering the transferability of such schemes).

(c) To gain an understanding of the impact of current and future budget pressures on the way in which private sector housing schemes are provided in Hartlepool;

(d) To explore and consider the following (giving due regard to *term of reference (c)*):-

- (i) how private sector housing schemes/ services may be provided in the future;
- (ii) if there are alternative ways to achieve the desired outcomes of low levels of anti-social behaviour and active thriving communities.

#### 5. MEMBERSHIP OF THE NEIGHBOURHOOD SERVICES SCRUTINY FORUM

5.1 The membership of the Scrutiny Forum was as detailed below:-

Councillors Cook, Fenwick, Gibbon, Ingham, A Lilley, Loynes, Robinson, Tempest and Thomas

Resident Representatives: John Cambridge and Iris Ryder

## **6. METHODS OF INVESTIGATION**

- 6.1 Members of the Neighbourhood Services Scrutiny Forum met formally from 27 July 2011 to 29 February 2012 to discuss and receive evidence relating to their investigation in to 'Private Sector Housing Schemes'. A detailed record of the issues raised during these meetings is available from the Council's Democratic Services.
- 6.2 A brief summary of the methods of investigation are outlined below:-
- (a) Detailed Officer presentations and reports supplemented by verbal evidence;
  - (b) Presentations and verbal evidence from the Authority's Elected Mayor and the Portfolio Holder for Housing and Transition;
  - (c) Presentations and verbal evidence from Middlesbrough and Durham Councils;
  - (d) Written evidence from Stockton Council;
  - (e) Verbal evidence from Housing Hartlepool and Durham Tees Valley Probation Service;
  - (f) Verbal evidence from representatives of the Landlord Steering Group and independent private sector landlords;
  - (g) Evidence received from two focus groups held for private sector housing tenants; and
  - (h) The views of local residents, tenants and landlords.

## **FINDINGS**

### **7 PRIVATE SECTOR HOUSING SCHEMES OPERATING IN HARTLEPOOL**

- 7.1 Members of the Neighbourhood Services Scrutiny Forum met on 14 September 2011 where Members received detailed evidence from the Assistant Director (Regeneration and Planning) and the Housing Services Manager from Hartlepool Borough Council. Members were advised that Hartlepool operates the following private sector housing schemes:-
- Selective Licensing;
  - Landlord Accreditation;
  - Empty Homes; and
  - Good Tenant Scheme.

**Selective Licensing**

- 7.2 Members were advised by the Assistant Director (Regeneration and Planning) that the Housing Act 2004 introduced a discretionary power for Local Authorities to designate areas for selective licensing of private sector housing. This was to be in specific target areas suffering from, or likely to suffer from low demand and / or significant and persistent anti-social behaviour. The purpose of the licenses was to improve housing management standards and reduce anti-social behaviour whilst increasing occupancy of housing stock.
- 7.3 Members noted that in January 2009, the Council obtained approval from the Department for Communities and Local Government to introduce a scheme to licence landlords and their properties in six specific areas of the town for focussed and intensive area-based activity. From 1 May the same year, private sector Landlords who owned a property or any individual that controlled or managed a property in the designated areas were required to apply for a licence.
- 7.4 The designated areas in Hartlepool are:
- Hurworth Street;
  - Furness, Cameron and Belk Streets;
  - Rodney Street;
  - Dent and Derwent Street;
  - Cornwall Street; and
  - Borrowdale and Patterdale Street.
- 7.5 Each individual privately rented dwelling is licensable, with a fee of £600 per property, potentially reducing to £300 per property if the landlord is accredited through the Landlord Accreditation Scheme, has more than one property and if they apply for a licence within a specified time.
- 7.6 In order to obtain a license, landlords need to comply with the conditions of the scheme and must:
- Be 'fit and proper' persons or employ agents who are deemed 'fit and proper' persons;
  - Manage their tenancies effectively;
  - Take up references for prospective tenants (preferably using the Good Tenant Scheme to determine suitability);
  - Take reasonable steps to deal with complaints of anti-social behaviour by their tenants; and
  - Ensure that vital safety checks are carried out in relation to category one hazards.
- 7.7 Landlords who have been granted a licence need to ensure the conditions are met and upheld. Failure to comply with such conditions can result in sanctions being imposed, as detailed overleaf:-

- A fine up to £20,000 for failure to apply for a licence in a designated area; and
- A penalty of up to £5,000 for a breach of licence conditions.

7.8 Members were informed of the following key facts in relation to the selective licensing scheme (as at 14 September 2011):-

- Applications Issued: 815
- Licences Issued: 568
- Number of Licensable Properties: 869 (*estimate*)
- Total Number of Households: 1775

7.9 The Assistant Director highlighted that Cabinet had agreed to extend the Selective Licensing scheme but this was on hold pending an assessment of the impact of the existing scheme, if the impact could be demonstrated to have addressed the key issues identified as part of original application, then the extension of the scheme would be subject to full consultation. Members felt that there were fundamental flaws in the current scheme and that it should not be rolled out further before the full outcomes were known. The Assistant Director agreed that the success of the scheme needed to be proven prior to any further roll out.

#### ***Landlord Accreditation***

7.10 Members were advised by the Assistant Director (Regeneration and Planning) that Landlord Accreditation is a town-wide voluntary scheme launched in 2002 and aims to encourage, acknowledge and actively promote good standards of accommodation and management in privately rented housing. Landlord Accreditation is not a statutory responsibility of the Council.

7.11 Acquiring accredited status is dependent on an acceptable standard of property condition, basic amenities and management practices. Landlords must comply with a Code of Conduct and meet certain terms and conditions relating to standards and practice, which are requirements of the scheme and meet their legal obligations and responsibilities. The Code sets out a basic standard for the condition of the property and includes a number of recommendations over and above the current minimum statutory requirement. The Code also covers a wide range of tenancy matters such as tenancy agreements and inventories.

7.12 The scheme requires an element of self-regulation and therefore relies on a degree of goodwill on the parts of landlords, agents and tenants. Failure to comply with the Code of Conduct will result in the landlords membership to the scheme being withdrawn.

7.13 Although the scheme provides no income stream, it is considered to be good practice to run accreditation schemes alongside selective licensing as a means to address standards in the private rented sector.

- 7.14 Members were informed that there were 1528 accredited properties in Hartlepool and 562 property inspections had been undertaken.

### ***Empty Homes***

- 7.15 The Forum learned that the Empty Homes Strategy 2010-2015 was developed to address the excessive number of long term (empty for over six months) private sector empty homes in the Borough. It demonstrates the commitment of the Council and partners through the adoption of measures to bring privately owned empty homes back into use. The strategy is overseen by the Empty Homes Strategy Steering Group, which meet on a monthly basis to monitor progress on the delivery of the strategy.
- 7.16 Members heard that an Empty Homes Officer was appointed in April 2011 and has since begun the implementation of the Empty Homes Strategy Action Plan aimed at developing the empty homes service, developing enforcement procedures and actively working with owners to inform them of all of the options available to them to bring empty homes back into use. The Council have a number of flexible tools and incentives along with an enforcement approach to assist this work. Identifying the ownership of empty homes has been a priority. All empty properties, which are known to have been empty for longer than 2 years, have now been assessed on a case by case basis using the Empty Property Assessment Form.
- 7.17 The Forum noted that a series of positive action letters had been developed which are used to establish the owner's intentions for the property and to encourage that owner to bring the property back into use. If positive action letters are unsuccessful and the informal approach does not result in a property being brought back into use, the most suitable option for enforcement will be identified. These positive action letters also provide evidence to demonstrate enforcement action is required if a landlord does not engage. There are a number of enforcement tools identified in the Empty Homes Strategy, which are a part of an overall enforcement policy in place for private sector housing.
- 7.18 Members noted that a number of schemes were being worked on linked to bringing empty homes back into use such as the Baden Street improvement scheme.

### ***Good Tenant Scheme***

- 7.19 The Forum heard that the Hartlepool Good Tenant Scheme was launched on 1<sup>st</sup> May 2008 and is a free to use tenant referencing service managed by Hartlepool Anti-Social Behaviour Unit, and delivered by the Housing Advice Team, from the Housing Options Centre in Park Road, Hartlepool. A multi-agency Steering Group oversees the operation and development of the scheme.
- 7.20 The aim of the scheme is to reduce anti-social behaviour in the private rented sector, by providing a risk management tool to landlords, and linking

vulnerable tenants to support to enable them to maintain their tenancies. Landlords subject to Selective Licensing are strongly recommended to use the Good Tenant Scheme for their tenant references.

- 7.21 Landlords are often reluctant to let their properties to people who they know little about. They fear their property could be damaged, used for illegal or immoral purposes or that the rent may not be paid. This can make finding a good property difficult and time consuming. Membership of the scheme allows someone to show that they are a good tenant quickly and easily.
- 7.22 The Forum noted that the scheme allows private sector landlords to obtain reliable, accurate and comprehensive information regarding the tenancy history of someone who has approached them for housing. This information is provided with the written consent of the prospective tenant.
- 7.23 Landlords are able to use the information provided by the scheme to make a risk assessment of whether it would be appropriate for them to take someone as their tenant. Landlords are able to confirm whether someone is a good tenant and to offer them a property. As a voluntary scheme, the final decision as to whether to take someone as a tenant remains with the landlord.
- 7.24 Applicants to the scheme are assessed on information provided by the Council and other agencies such as the Police and former landlords (where possible). An individuals' history for the past two years checked. The following checks are carried out:-
  - Housing history check;
  - Anti social behaviour history check;
  - Landlord check;
  - Local knowledge check; and
  - Police knowledge check.

#### *Membership Types*

- 7.25 Members learned that the scheme operates a traffic light system of membership as follows:-
  - Full Membership (Green) – Membership granted for 6 months. Applicants must have held a previous tenancy within the last two years. Applicants with no history of rent arrears, anti-social or criminal behaviour related to the tenancy or tenancy management concerns,
  - Provisional Membership (Yellow) – Membership granted for 6 months. Applicants with minor rent arrears, anti-social or criminal behaviour related to the tenancy, tenancy management concerns, or who have not previously held a tenancy,
  - Rejected Membership (Red) – Membership rejected for 12 months. Applicants whose behaviour would have entitled a landlord to seek



immediate possession of the property at court. i.e. significant rent arrears, serious anti-social / criminal behaviour, major problems involving tenancy management.

- 7.26 Where applicants are rejected they have the right to re-apply to join the scheme provided they can show an improvement in their behaviour over a consistent period of at least 6 months.
- 7.27 Originally tenants were issued with photo ID cards to prove to prospective landlords that they were part of the good tenant scheme; these cards were valid for six months. Now a letter is issued indicating the type of membership and the reason for the decision, this can be shown to landlords to save them having to confirm this information separately.
- 7.28 The Forum noted that applications for the scheme were up 43% from quarter 1 2010 to quarter 1 2011. The breakdown of the applications was as follows:-

**Table 1: Breakdown of Good Tenant Scheme applications for Q1 2011 - Q1 2010**

Type	Q1 2011	Q1 2010	Difference
Applicant (applications being processed at the time of the report)	23	17	6
Full Membership	75	26	49
Prov. Member - 1st Tenancy	68	69	-1
Prov. Member - ASB / Criminal Issues	11	9	2
Prov. Member - Rent Arrears	26	30	-4
Prov. Member - Support Dependant	5	2	3
Prov. Member - Tenancy Management Issues	16	4	12
Rejected Applicant	29	9	20
Tenancy Complaint	3	4	-1
Passported Membership (use limited to where references cannot be obtained or where exceptional circumstances apply)	0	9	-9
<b>Total Applicants</b>	<b>256</b>	<b>179</b>	<b>77</b> <b>(43% increase)</b>

- 7.29 Members were in support of any suggestions that could improve the current situation for those renting from private landlords. They felt that schemes such as Landlord Accreditation should be mandatory, and that as long as such schemes were voluntary very little progress would be made. The Assistant Director acknowledged that the legal aspects needed to be focused upon. The Director of Regeneration and Neighbourhoods believed that a co-ordinated approach would be the key to success.

## **8 THE EFFECTIVENESS OF CURRENT PRIVATE SECTOR HOUSING SCHEMES IN ACHIEVING DESIRED OUTCOMES**

- 8.1 The Neighbourhood Services Scrutiny Forum gathered evidence from a number of sources in relation to the effectiveness of current private sector housing schemes. Information considered by Members is as follows:-

### **Evidence from Hartlepool Borough Council Private Sector Housing Team**

- 8.2 At the meeting of the Neighbourhood Services Scrutiny Forum of 14 September 2011, Members heard evidence from the Assistant Director (Regeneration and Planning). The Forum was advised of the former and current management arrangements and that a trial restructure had been introduced in May 2011, which had seen all housing functions brought together under one manager in the Housing Services section of the Regeneration and Planning Division. The exception to this being the Good Tenant Scheme, which is managed by the Anti-Social Behaviour Unit in Neighbourhood Services, but operated from the Housing Options Centre in Park Towers. The intention of the restructure was to create a co-ordinated approach to the Council's Housing Services, which had been recognised as a limitation in previous service delivery and had resulted in a number of inefficiencies.
- 8.3 The implementation of the new management structure was being trialled for 6 months. The Forum heard that it was due to be reviewed in October / November 2011, following workshops with members of staff and line managers. If considered successful the restructure could see a major transformation in service delivery in the long term, through increased skills and capacity across the section, and greater clarity on roles and responsibilities; ensuring a more effective and efficient service together with improvements in the Council's enabling role.

### ***Selective Licensing***

- 8.4 Members heard that the implementation of the Selective Licensing Scheme in Hartlepool had been inconsistent since its inception and that there had been some significant problems in the delivery of the service, though it was noted that many issues had already been addressed.
- 8.5 The Forum was advised that other problems in relation to Selective Licensing were being worked through with new strategies, action plans and protocols being put into place to ensure the delivery of a robust scheme in future. Members also noted that at the time of the meeting the scheme was in its infancy, only being introduced in Hartlepool in early 2009 and was therefore just 20 months into its 5 year life span.
- 8.6 Members were informed of the issues identified following an audit of the scheme, these include:-

- Existing systems needing to be developed to ensure database records hold accurate, complete and up to date information;
  - Partnership arrangements needing to be strengthened to assist in a fit and proper assessment to be undertaken; and
  - Whilst recovery action had been taken to obtain documentation such as gas safety certificates, enforcement tools had not been actively used on landlords who had not cooperated in the scheme or complied with the conditions of the scheme. The Local Authority had avoided the use of such powers resulting in no landlord being subject to full enforcement.
- 8.7 The Forum was pleased to note that actions to address these and other issues identified was well under way. Members agreed that the department had shown commitment to tackling these issues.
- 8.8 The Assistant Director (Regeneration and Planning) advised Members that the extension to the Selective Licensing Scheme into an additional nine areas of the Borough had not yet been progressed pending an evaluation of the existing scheme, to consider its effectiveness in achieving strategic aims, determine the financial implications of administering the scheme and whether lessons can be learnt for the future.
- 8.9 Members were informed by the Assistant Director (Regeneration and Planning) that going forward the Council was working towards ensuring effective arrangements were in place for the Selective Licensing Scheme. Members noted that the department aimed to ensure that the scheme was consistent with the overall housing strategy and other relevant initiatives, including homelessness and anti-social behaviour initiatives and that the scheme would achieve strategic aims and objectives.
- 8.10 The Forum heard that applications would be completed for all privately rented properties in the designation area, with appropriate checks in place to ensure the applicants meet the 'fit and proper' assessment criteria. Mandatory conditions of the licence will also be clearly communicated to landlords and these will be enforced more rigorously.
- 8.11 The planning for phase two of the Selective Licensing scheme would be revisited to ensure that there was sufficient evidence to justify the adoption of the extension, and that social and economic conditions would be improved and / or anti-social behaviour reduced as a result. Detailed work would also be required to ascertain whether an extension into an additional nine areas would be manageable and it would be necessary to re-consult to ensure all landlords are included. The impact on any areas that were not taken forward would also have to be carefully managed, as aspirations had been raised in the local community through the public consultation. In the interim, whilst on hold, it would be necessary to communicate some key messages to those who had been involved in the initial consultation process to inform them of the current position.

**Landlord Accreditation**

- 8.12 The Forum was informed by the Assistant Director (Regeneration and Planning) of the issue raised in relation to Landlord Accreditation in a recent audit of the scheme. Members heard that there were issues with the way records were held and that some data had not been populated onto the system due to a reduction in admin support; standardisation of records was also required.
- 8.13 Members noted that due to a lack of resources not all properties had been inspected, which meant assurances that landlords meet the criteria for Landlord Accreditation might not necessarily be in place. The Assistant Director (Regeneration and Planning) advised the Forum that these inspections would now be carried out as joint inspections with those for Selective Licensing, and going forward the Council would ensure the scheme promotes good standards of accommodation in private rented housing, increases the availability housing and develops effective relationships with landlords.

**Good Tenant Scheme**

- 8.14 Members were informed by the Assistant Director (Regeneration and Planning) that observations raised following an evaluation of the Good Tenant Scheme included the need to develop simple clear procedures and standardised documents for staff; to ensure the quality of the application process and that outcomes are consistent and also to ensure the quality of the information received from the Police is improved.
- 8.15 Members were again pleased to note that action was already underway to address the observations raised.

**Empty Homes**

- 8.16 The Forum was advised by the Assistant Director (Regeneration and Planning) that areas requiring improvement in relation to empty homes had been identified during an audit of the process. The Forum noted that action had been or was being taken to address the observations:-

**Table 2: Observations and Actions in relation to Empty Homes**

<b>Observation</b>	<b>Action</b>
1. In the past there has been no dedicated resource to focus on bringing empty properties back into use resulting in an uncoordinated approach to tackling the problem. Tackling the issue of empty homes was being delivered by different sections within the Council, which wasn't joined up.	An Empty Homes Officer was appointed in April 2011. This appointment was delayed due to the freeze on recruitment once the Business Transformation process was underway.
	The Housing Services Team now employ a joined up team approach to the issue of empty properties.

2. Need to pro-actively work to bring long term empty homes back into use using flexible solutions / appropriate enforcement action to improve neighbourhoods and the environment.	Develop an Empty Homes Toolkit.
	Use enforcement proactively to tackle long term empty properties in areas of housing need.
	Explore opportunities for financial assistance to private owners.
3. Prevent homes from becoming long-term empty to minimise the number of properties becoming empty for longer than 6 months.	Develop a marketing and publicity approach to promote the Empty Homes Strategy.
	Provide a contact point within the Council for empty homes work.
	Enhance liaison with private landlords.
	Enhance partnership working across services.
	Establish procedures for working with mortgage companies with clients at threat of repossession.
4. Increase decent and affordable rented housing for those in housing need / maximise housing options in the town to improve access to decent and affordable housing for people in housing need.	Investigate and develop a range of re-use options for owners.
	Increase the use of affordable empty homes in meeting housing need.
	Work with registered providers to maximise housing options in the town.
5. Continue to identify the reasons for the distribution and ownership of empty homes and establish trends and reasons, and have accurate information and trends mapped in order to effectively progress strategy development and enable informed decision making.	Enhance partnership working across services.
	Develop an Empty Homes Database.
	Establish an accurate baseline of empty homes information.
	Map areas of housing need.
6. Support investment in Housing Market Renewal and its surrounding areas through the reduction of long-term empty homes to achieve long-term sustainability of these areas.	Review and monitor empty homes performance.
	Ensure empty homes work complements the regeneration activity for the town.

- 8.17 Members learned that an incentive approach had been development in the form of the Empty Property Pilot Scheme, approved by Cabinet in August 2011. The Council was to work in partnership with Housing Hartlepool to bring empty homes back into use through a grant / loan package for landlords. There was also a pilot project to bring empty properties back into use in Baden Street. This was being introduced to address the concentrated problems and in the long term ensure the sustainability of the street. Both of

these schemes were being piloted and could be rolled out to other areas in the town in the future, if successful.

- 8.18 The work that has been undertaken in relation to bringing empty homes back into use has been an overall success with 56 empty properties brought back into use out of a target of 63 in 2010/11. Much of the work has been underpinned by the Empty Homes Strategy 2010-2015 and the preparation of a short term action plans to support the delivery of the Strategy.
- 8.19 The Forum questioned if the Baden Street scheme was still going ahead. The Assistant Director commented that one of the main problems that landlords had raised was the lack of security, often any improvements they installed in a property were stolen or vandalised that day after, and that this was one of the issues being tackled through the project.
- 8.20 Following Members queries regarding the cost of the scheme the Forum learned that the money allocated wasn't wholly grant money as it had initially been portrayed. The scheme was based on repayable loans and grants. Should a property be brought back into use with assistance under the scheme, the agreement would be that the property would remain in use for at least five years before the money could be considered to be a grant. Should that not be the case, the money would be repaid. Following discussions with the landlords it had been agreed that they would be willing to invest if the authority could guarantee the security of the properties. Many of the properties were not in as poor a condition as originally thought, so it was likely the costs would be much lower than originally anticipated.
- 8.21 There were still some reservations among Members in relation to providing private landlords with funds to improve their properties. The Mayor, who was present at the meeting, commented that the true picture of the Baden Street scheme had not been represented in the press and that £35,000 of the funding would not be recoverable, as that had been used to enhance security, which was an understandable issue for landlords. The money going into properties would be recoverable through loans.
- 8.22 Members broadly supported the proposals but did feel that communication with the public was key and needed to be improved to explain why the support for private landlords was necessary, the actual associated costs and details of the results. There was concern amongst Members that many members of the public saw the schemes as money simply being given to private sector landlords, which had now been explained was not the case.
- 8.23 The Assistant Director highlighted that there was a council tax benefit of bring the properties back into use. There was also the potential of the Council being involved in tendering quotes for the works, which would essentially recycle the money back through the Council.
- 8.24 The Mayor commented that dealing with bad landlords and empty properties was one of the big issues for Hartlepool. The Government were not funding any more housing renewal projects in the future so that funding avenue had

been removed. Hartlepool needed around 200 new homes each year to meet demand. There were 1000 empty properties in the town and if these could be brought back into use then that had to be seen as a good thing for the town and its residents. The Mayor commented that the points Members had made regarding communication were valid and would be taken on board.

### **Challenges**

- 8.25 In addition to the challenges faced in relation to selective licensing Members noted that all the schemes were facing staff shortages and limited resources. The lengthy timescales involved in enforcement action were also a challenge that needed to be managed effectively.
- 8.26 Members raised the changes to legislation regarding housing benefits as a concern, particularly the introduction of a single room rate for the under 35's and the impact that this might have on houses of multiple occupation. The Housing Services Manager indicated that the council had a discretionary housing payment fund where small tops ups to rent could be paid; but that budget was already under severe stress. A member of the Landlords Association highlighted that this change to legislation affected mainly singles males aged 25-35 and was likely to start to cause problems in early 2012, more were likely to have to share properties which could ultimately lead to more empty properties. It was estimated that this could potentially affect up to 330 people in the town, the majority of which would be private sector renters.
- 8.27 The Forum also felt that the increase in metal thefts was a major problem for landlords renovating properties. Members felt that the powers to prosecute in this area needed to be strengthened as the current legislation dated back to 1964 and the maximum fine was currently £1000. Members asked that representations be made to the Hartlepool MP (Iain Wright) to pressure for legislation to be strengthened.

### **Evidence from the Portfolio Holder for Community Safety and Housing**

- 8.28 At the meeting of the Neighbourhood Services Scrutiny Forum of 14 September 2011 Members were delighted to received evidence from the Portfolio Holder for Community Safety and Housing, The Mayor.
- 8.29 The Mayor commented that it had been some time since the Cabinet had considered the Selective Licensing scheme and he was aware it hadn't gone as well as everyone had hoped with mixed reviews from the public and landlords. The scheme was inter-dependent on all sides becoming involved to make it work.

- 8.30 The Mayor considered enforcement to be a key issue and work was underway to review the way Section 215 notices<sup>1</sup> were issued to help in the process of bringing empty properties back into use. It had to be stressed that properties in the town were generally in good condition; it tended not to be the properties that brought an area down but the people in them. Baden Street was a good example of this where a little assistance to landlords could make a significant difference and those that did not wish to engage with the Council would be rigorously pursued. The Mayor felt that tackling licensing had taken longer than he would have liked but the issues were being dealt with and it was still very high on his agenda.
- 8.31 Members questioned why the authority simply couldn't retain properties that it had to go into and improve. The Mayor indicated that legally the properties belonged to the owner/landlord, the authority did want to work with landlords; enforcement only worked to a certain point.
- 8.32 The Forum considered that while the physical conditions of many of the properties was not too bad, there still needed to be discussions on some basic standards. The Assistant Director commented that helping people set up homes was also an issue; Cabinet would be considering a report on a scheme to give tenants access to decent affordable furniture, particularly young people setting up their first home. The scheme would provide furniture through a loan payback system. Evidence showed that similar schemes elsewhere secured longer tenancies.
- 8.33 The Mayor also identified that there was an opportunity for groups to train vulnerable people to gain experience in the building trade by giving them the opportunity to work on schemes to bring properties back in to use.

### **Evidence from Hartlepool Landlords**

- 8.34 The Neighbourhood Services Scrutiny Forum considered evidence from representatives from the Landlord Steering Group and independent landlords at the meeting of the Forum on 14 September 2011.
- 8.35 The representative of the Landlord Steering Group felt that the Landlord Accreditation Scheme had taken a back seat to licensing over the past few years and many landlords did look for proper accreditation. It was unfortunate that the scheme could not be extended town-wide and had to be targeted as this would be a way of ending the dispersal of bad tenants to blight other areas. Selective licensing seemed to be more about getting numbers involved than actually tackling bad tenants and landlords.
- 8.36 The members of the Landlord Steering Group had been keen to join the process as they hoped it would be good for business as well as reducing social problems, landlords had to be seen as part of the solution. In some areas if landlords did not come in and buy properties, the problems could be

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<sup>1</sup> Section 215 notices require the owners of land and buildings to take action to clean up those which are adversely affecting the amenity of an area.



greater. Landlords in general invested an average of £15,000 into properties to bring them up to standard. It was not in their interests to leave them empty; that meant no income and a greater chance of damage and theft.

- 8.37 The landlords have wanted a reliable tenant referencing scheme for years but some won't use the current system as they felt it was too slow, landlords also felt there was no need to issue 'cards' to people as there was no guarantee that anyone on the scheme would be good tenants all the way through a twelve month let. The system would be better if it included past references, was speeded up and applied to the whole of the town.
- 8.38 An independent landlord indicated that landlords did not have too many problems with the current licensing zones but they would if the zones were extended. There were mixed experiences with the referencing scheme and even so called 'good' tenants had left huge problems after a let. One improvement that the scheme could make was to move online and allow landlords to update a record of their experiences following a tenancy.
- 8.39 The Assistant Director informed the Forum that frequently not enough feedback on tenants was coming through from landlords. More landlord information was required to build up a better database. Members were supportive of the exploration of additional ways to enable landlords to leave feedback following tenancies, including online methods.
- 8.40 A representative of the Hartlepool Landlords Steering Group referred to advice he had recently given to a landlord against improving a property because of the problems in an area through thefts of copper piping, wiring and other fittings. The lack of general security also made it difficult to get insurance for some properties. Even if improved, the chance of getting a good tenant because of the area was also unlikely. This caused Members concern. The landlord also indicated that because of the current market selling the property wouldn't be advisable. Members were concerned that the Council moving in and taking on such properties could leave the authority in exactly the same position as the landlord.
- 8.41 The Assistant Director indicated that some security problems could be quickly addressed in some streets. In some it was as simple as street lights being repaired and a general clean up to give a visible uplift. It may be the case that the authority did need to work closer with the landlords to see what sort of dual investment could be made to make areas more attractive to tenants.
- 8.42 A representative from Belk, Cameron and Fumess Streets Residents Association, commented that residents were having problems with vandalism and sinking house values if they were next door to an empty property. Empty homes weren't productive for anyone; the landlord not getting any rent and the Council was not receiving council tax. Residents did not want yet another bad tenant on their doorstep, they wanted to work with landlords to improve the community of the streets which was in everyone's best interests.

**Evidence from Housing Hartlepool**

- 8.43 At the meeting of the Neighbourhood Services Scrutiny Forum on 14 September 2011. Members took evidence from representatives from Housing Hartlepool. The Forum heard that Housing Hartlepool were working with the Council to bring empty properties back into use. A scheme had been developed with the National Housing Council to look at this issue. Properties could be empty for a number of reasons, from the landlord having difficulties, problems in finding tenants in certain areas, to some homes being inherited by families with no decision being taken on what to do with it.
- 8.44 The representatives from Housing Hartlepool advised Members that some issues were relatively easy to deal with, some weren't. There were twenty properties that had been empty for over five years in the town, all for different reasons. Finance should be available through the scheme to bring around 25 homes back into use. The improvements would be repaid through loans over three to ten years and the property would be managed by Housing Hartlepool while the loan was being repaid. The Forum noted that Housing Hartlepool would need to assess carefully the properties brought into the scheme as the investment would need to be protected. Homes would need to be of a good standard, affordable and let-able. The improvement work would be geared to providing local employment and training and while this was only a small number of properties, the money could be recycled into new properties as the loans were repaid. The Forum welcomed the scheme reported by Housing Hartlepool as a positive step.
- 8.45 There was still a general concern within the Forum as to where bad tenants would be housed, as it was noted that bad tenants tended to gravitate to certain areas, increasing the level of blight on the other residents. The Assistant Director indicated that there would always be bad tenants, though some did turn themselves around and all the effort had to be directed towards that change.

**Evidence from Middlesbrough Borough Council**

- 8.46 The Neighbourhood Services Scrutiny Forum was pleased to welcome the Strategic Housing Manager and the Principal Environmental Health Officer from Middlesbrough Council to provide evidence in relation the private sector housing services they provide.
- 8.47 Members learned that wards in the older housing areas of Middlesbrough had up to 28% privately rented housing, with over 10,000 properties wrapped around the town centre dating back to pre 1919. The Stock Condition Survey found that 38% of private rented properties did not meet Decent Homes Standards, with the highest rate of category one hazards than any other tenure (category 1 hazards are those that are deemed to damage health, either through potential for accidents or causing illness or medical conditions).

8.48 All four of Middlesbrough's older housing area wards rank in the lowest ten in Tees Valley's Community Vitality Index for 2010/11. Middlesbrough Council's aim was therefore to transform failing housing areas in older housing regions through a variety of improvements. The Forum heard that improvements already carried out include:-

- Facelifts undertaken - 1,170
- Match loan incentive scheme - 114
- Home improvement loans and grants - 500
- Minor repairs – 816 (since 2007)
- Various improvement grants – 217

8.49 Members heard that the aims of the private rented sector services were to improve management standards, tackle anti-social behaviour and enable access and consultation. Officers were also working on a number of future initiatives including a private rented housing strategy and healthy homes scheme aimed at reducing health inequalities caused by poor quality housing conditions. This would be done through door-to-door outreach work and by establishment of a Healthy Homes Forum Partnership.

8.50 The Forum was informed that Middlesbrough provides the following range of services and statutory duties:-

**Landlord and tenant Support**

- Empty houses, eyesore premises and land 55 premises improved 2010/11;

**Housing Standards and Enforcement (HHSRS)**

- 758 premises inspected 2010/11
- 80 Legal Notices served
- 4 prosecutions

**Licensing of Houses of Multiple Occupation**

- 120 licensable HMO's

**Investigation of illegal eviction and harassment**

- 30 investigations

**Immigration inspections**

- 50 inspections

**Homeless Provision**

- Inspection of B&B premises

**Accreditation of bed and breakfast accommodation**

- 4 B&B providers signed up to an SLA on required standards

8.51 The Forum noted that following any complaint an inspection would be undertaken by the Environmental Health Team. This visit would include a review of how any potential hazards in the property may affect the person living there, for example those over 65 are likely to be more vulnerable to trips and falls.

8.52 At the date of the Forum, meeting 80 legal notices had been issued to landlords in relation to Housing Health and Safety Rating System (HHSRS)

issues for 2011 and 4 prosecutions had taken place where these had failed to be addressed. In 2007 12 notices were issued, which had increased to 144 in 2010. The Principal Environmental Health Officer advised the Forum that every selective licensed property is visited by a member of the team and that ideally these types of visit should be carried out once a year, but unfortunately this was not possible due to the current financial situation the Council found itself in. The Principal Environmental Health Officer also advised Members that Middlesbrough were very rigorous in taking enforcement action to tackle problems in the private rented sector.

- 8.53 The Council was undertaking a number of other measures to improve management standards, tackle anti-social behaviour and enable access and consultation in the private rented sector. Initiatives include the setting up of the 'Shield Project' a free tenant referencing service for landlords. In 2010/11 602 landlords joined the scheme and 490 applicants had been referenced.
- 8.54 To tackle the issue of anti social behaviour the Neighbourhood Safety Team works with other agencies such as CCTV, street wardens, neighbourhood police and problem solving groups. The officers also have a range of measures such as warning letters, fixed penalty notices, parenting orders, individual support orders and anti social behaviour orders (ASBOs) to tackle those who do not want to engage.
- 8.55 There are a number of projects in place to enable greater access to housing and prevent homelessness. The 'rent bond scheme' provides a bond for homeless client groups, so that rather than having to go into bed & breakfast accommodation they are able to access the private rented sector. The DISC Key Project provides access to the private rented sector for socially excluded adults through support packages and a bond scheme.
- 8.56 Middlesbrough Council have tried to develop productive relationships with landlords as ultimately it is in everyone's interest to ensure areas and properties are of a standard that people want to live in. The Council currently work with the National Landlords Association and Teesside Landlords Association.
- 8.57 The Forum noted that as income received from Selective Licensing Schemes had not been ring-fenced, Middlesbrough Council was ceasing Selective Licensing at the end of November 2011 and was working towards an exit strategy for this. The Forum supported the continued ring-fencing of Selective Licensing income in Hartlepool to secure the future provision of the scheme.
- 8.58 A landlord representative questioned what additional powers had been achieved through the introduction of Selective Licensing. The Principal Environmental Health Officer reported that the introduction of Selective Licensing had allowed financial and officer resources to be target in that area, the primary achievement of the introduction had been a reduction in anti-social behaviour. It was questioned whether Selective Licensing itself had led to this reduction or whether it had been co-incidental. The Principal

Environmental Health Officer felt that the concerted effort involved in Selective Licensing had made a difference in a number of factors, including anti-social behaviour.

### ***Healthy Homes Scheme***

- 8.59 The Forum learned that Middlesbrough Council had introduced a pilot scheme to reduce health inequalities caused by poor quality housing conditions. This was an innovative scheme which aimed to engage with some of the most vulnerable private sector tenants in the Gresham ward (an older housing area). The scheme involved proactive door-to-door outreach work to identify where assistance was needed at an earlier stage (similar to the fire services outreach model).
- 8.60 The aims of the scheme was to:
- make homes healthier and safer to prevent avoidable deaths and hospitalisations; and
  - ensure households receive a single assessment of their general health and well being and are actively encouraged to access appropriate services.
- 8.61 Members heard that a face to face pilot study had been carried out in August 2011 over 1 week in Gresham. Seventeen households had been targeted and issues arose such as:
- a third of households reported that they perceived their health is affected by living in their current property;
  - almost half of households are not registered with a dentist;
  - over half of the households reported a problem of dampness within the property; and
  - due to the demography of the area, it would suggest that these findings are unlikely to be unique.
- 8.62 The next stage was to establish a Healthy Homes Forum Partnership to follow the pilot cases through, this would include colleagues from welfare, benefits and energy efficiency (amongst others).
- 8.63 The Strategic Housing Service Manager advised the Forum that publicity would be carried out before the launch of a full scheme in an attempt to engage people who don't normally engage with services. Members noted that in the future there was a real need to focus on tackling escalating public service costs with a real focus on prevention. The scheme would need to be carried out in conjunction with the local Primary Care Trust (PCT), as early intervention prevented people ending up in hospital and was beneficial for the Council, PCT and the tenants themselves.
- 8.64 Officers would be able to carry out an assessment of properties and had the powers to ensure that health hazards were removed from homes. The Healthy Homes model had been utilised successfully in Liverpool for some

time, where the model was funded by the PCT. The Forum heard that the following had been achieved by the Liverpool scheme:-

**Liverpool's Scheme April 09 to May 10**

- Achievements
  - 7,274 properties visited
  - 5,373 surveys completed
  - 8,479 referrals to partners
  - 1,313 HHSRS inspections carried out
  - £1.5m private sector leverage
  - 32 health promotion events
- Referrals to partners (8,479)
  - 1,345 Environmental Health
  - 1,268 Dentist
  - 969 Food and Nutrition
  - 901 Fire Service
  - 675 Energy efficiency
  - 591 Mental well-being
  - 543 Lifestyle advisor
  - 502 Education/employment/ training
  - 474 Fuel poverty
  - 339 Smoking
  - 248 benefit maximisation
  - 221 Age concern
  - 181 Doctor
  - 164 Sure Start
  - 58 Alcohol and drugs

- 8.65 Members were very keen to explore the introduction of a healthy homes scheme within Hartlepool and questioned who carried out the door-to-door outreach part of the programme. The Strategic Housing Services Manager advised the Forum that the pilot was carried out by staff from the Housing Regeneration Department. If the decision was made to continue the scheme full-time special advocates would be trained. Officers were hoping to acquire health funding to train current staff at risk of redundancy.

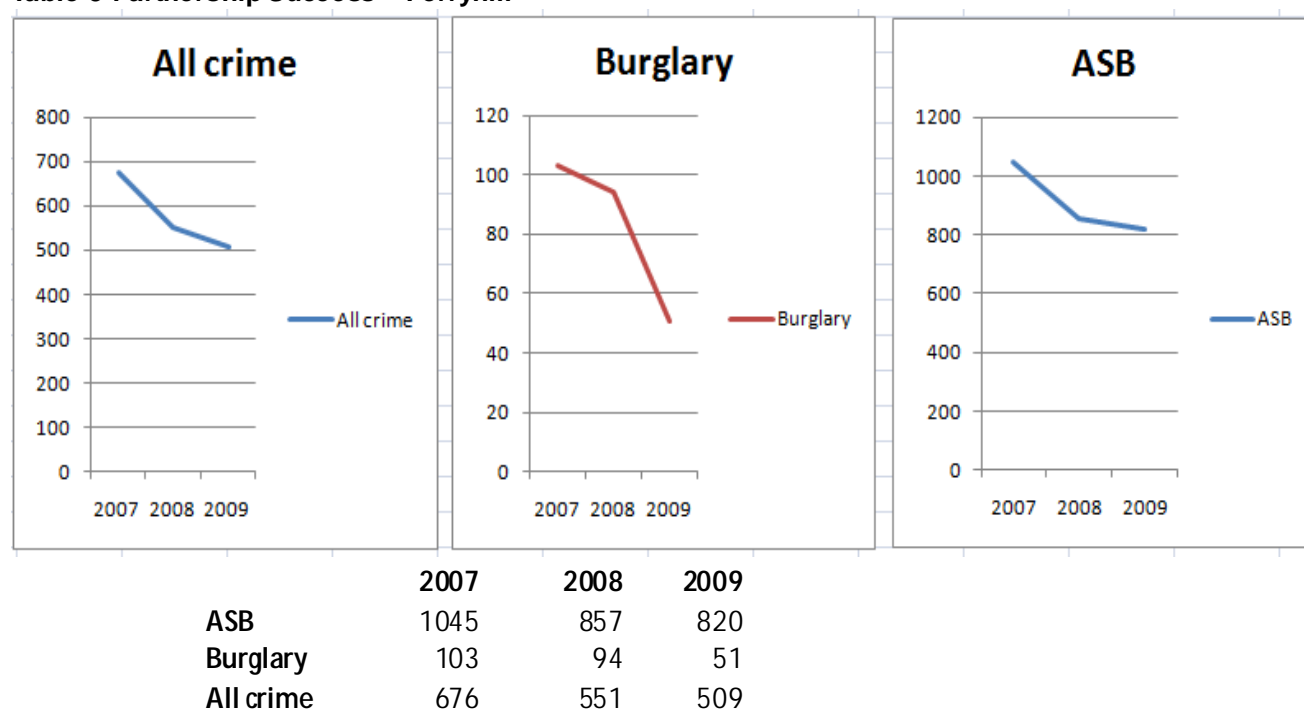
**Evidence from Durham County Council**

- 8.66 At the meeting of the Neighbourhood Services Scrutiny Forum on 26 October 2011 Members received evidence from representatives of Durham County Council Housing Team.
- 8.67 The Forum learned there had been a major local government review in Durham with county and district councils amalgamated, this had resulted in many differing work practices in relation to housing services needing to be integrated.

- 8.68 There are about 232,000 homes in County Durham, 80% or 185,000 of which are private sector housing, owned by an owner-occupier, private landlord or private companies. The best estimate is that approximately 16% of private sector housing is owned by private landlords.
- 8.69 Members heard that Durham was taking a two pronged approach to housing renewal and improvement. There were eight regeneration areas within Durham, these tended to have the most issues and required the most capital funding and resources. The other element was to act as a safety net where there were problem landlords and vulnerable tenants with all interventions taking place contributing to improving property conditions or management standards.
- 8.70 The Forum noted that Durham provides the following services for landlords and tenants:-
- Lobbying Central Government
  - Website
  - Landlord Training / Briefing Sessions
  - Advice Line
  - Referencing
  - Enhanced services to tenants
  - Choice Based Lettings
- 8.71 Durham Council does not operate a Landlord Accreditation Scheme as, due to the amalgamation of several borough councils (each with differing working practices, strategies and fees) it was felt that a choice based letting scheme would be more appropriate as a way of improving management standards and services.
- 8.72 Members were informed by the representative from Durham County Council that Durham currently has a number of selective licensing areas with low demand for housing and high levels of anti social behaviour. There had been huge expectations for selective licensing but it was stressed that this was only meant to be one tool to combat the problems these areas face and was meant to be used in conjunction with other interventions. Selective Licence designations take many months to implement and do not deal with property condition or environmental issues.
- 8.73 The Forum noted that at the time of the meeting the figures for licensing in the designations of Dean Bank, Ferryhill, Chilton West, Wembley and Easington were as follows:-
- Dean Bank – 328 Licensable; 259 Licensed; Pending 16; 53 Empty /Exempt; 3 prosecutions pending for breach
  - Chilton – 160 Licensable; 107Licensed; Pending 14; 38 Empty / Exempt, 1 prosecution pending
  - Wembley – 121Licensable; 68 Licensed: 1 Revoked: 21 Empty/ Exempt: Pending 31

8.74 The representatives from Durham Council informed the Forum of the following success in relation to the work undertaken in Ferryhill:-

**Table 3 Partnership Success – Ferryhill**



8.75 The Forum heard that this success was attributable to the work of the anti social behaviour, environmental protection and alcohol abuse teams, plus the Police and Streetscene and that selective licensing had also played a role in the success.

8.76 Members questioned whether this success had merely displaced problems to other areas, but were advised that care was taken when re-housing potential problem tenants to ensure they did not end up in areas with high anti social behaviour, which tended to curb their own behaviour and almost became self regulating. There was also a lot of work undertaken with landlords and support packages were put in place to help tenants.

8.77 The Forum heard that selective licensing enforcement was limited to breaches of Part 3 of Housing Act 2004 – Management of Property, non – compliance with the requirement to obtain a licence (criminal offence - maximum fine £20,000) and breach of Licence condition (maximum fine £5,000 per breach).

8.78 To date six landlords of eleven properties had been successfully prosecuted, six in Dean Bank and five in Chilton West. Seven formal warning letters had been issued in respect of breach of licence conditions. In total fines ranging from £750 - £17,210 have been imposed totalling £26,510.



### **Evidence from Stockton Borough Council**

- 8.79 At the meeting of the Neighbourhood Services Scrutiny Forum on 26 October 2011 Members considered written evidence from Stockton Borough Council Private Sector Housing Division.
- 8.80 Members noted that Stockton Borough Council's Private Sector Housing Division provides a number of services. These include improving poor housing conditions, mandatory licensing of houses in multiple occupation, landlord accreditation, the provision of financial assistance to improve the condition of the private sector stock or to provide adaptations for people with special physical needs and the bringing back into use long term empty properties. The Council does not operate a selective licensing scheme.

#### *Stockton's private sector housing stock condition survey*

- 8.81 In November 2009, the Private Sector Housing Division completed its statutory, borough wide private sector housing stock condition survey. This was procured jointly with Hartlepool and Darlington Councils. The headline information revealed:
- There were 67,150 private sector homes in the borough of which 58,120 (86.5%) are owner occupied and 9,030 (13.5%) are private rented;
  - There are 10,700 homes in the borough that do not meet the Decent Homes Standard of which 4,500 are non decent because they contain a category 1 hazard;
  - The total cost to remedy category 1 hazards is £16 million;
  - The total cost to remedy non-decent homes is £42 million;
  - 33,237 (51%) of households in the borough live on an income of less than £15,000 per year, which raises significant affordability issues;
  - 9,500 dwellings (14.7%) have at least one resident with a long-term illness or disability, of these, 4180 (44%) are unsteady on their feet;
  - Since 2003 the number of empty dwellings has increased by 27% from 1,600 to 2,420; and
  - 99% of households in fuel poverty have an income less than £15,000 per year and 31% of private rented tenants are classed as fuel poor.

#### *Improving poor housing conditions in the private sector*

- 8.82 Members noted that the Private Sector Housing Division has a number of 'tools' it utilises to remedy sub standard housing conditions. Stockton's approach to dealing with unsatisfactory conditions and poor landlord practices is both proactive and reactive.
- 8.83 Stockton Borough Council utilises a 'private rented toolkit' comprising of:
- Informal actions – to support and encourage landlords to improve their property and management practices.

- Formal actions – Stockton have introduced a mandatory House in Multiple Occupation (HMO) Licensing Scheme and were the first authority in the Tees Valley to apply for an Interim Empty Dwelling Management Order to take control of a long term empty property.

*Services provided to improve homes in the private sector (rented or owner occupied)*

8.84 The Forum noted that Stockton Borough Council provides the following services to all private sector housing residents:-

- Advice and information relating to the rights and responsibilities of home owners, landlords and tenants;
- Disabled adaptations;
- Facelift Projects;
- Landlord Forum events and newsletters;
- Landlord Accreditation Scheme;
- A Houses of Multiple Occupation (HMO) Licensing scheme;
- Advice and financial assistance for homeowners to improve the condition of their home;
- Advice and signposting to financial assistance for homeowners, landlords and tenants who wish to improve the energy efficiency of the homes they own or rent;
- A free tenant referencing service to landlords;
- A rent deposit/bond scheme for tenants who wish to move into a property owned by a member of the Council's Landlord Accreditation Scheme;
- Joint working with Cleveland Fire Brigade through its Winter Warmth campaign;
- Joint working with Cleveland Fire Brigade to develop common standards for means of escape and other fire safety measures in Houses in Multiple Occupation; and
- A proactive approach to dealing with the issues caused by empty homes.

### **Evidence from the Neighbourhood Services Team**

8.85 At the meeting of the Neighbourhood Services Scrutiny Forum on 26 October 2011 Members received evidence from the Assistant Director (Neighbourhood Services) regarding the role of the Neighbourhood Management and Anti Social Behaviour Teams in relation to private sector housing schemes.

8.86 Members learned that there was good working links and communication between the Neighbourhood and Private Sector Housing Teams and teams working in the community would refer sub-standard housing issues to the Private Sector Housing Team. Community Development Officers work with residents associations to identify issues, which are then fed to the Police to enable resources to be targeted effectively.

- 8.87 Members learned that the Neighbourhood Teams undertook activities such as boarding up empty properties, house clearances, dealing with anti-social behaviour, property standards and the Good Tenant Scheme. Members were interested to learn that the department are part of the 'Team around the Household' that supports families with multiple problems and identifies interventions that work, whilst aligning services to achieve the common objectives and formulating an action plan which individuals and families would sign up to.
- 8.88 Members raised concerns regarding who would pay for the household clearances and disposal of waste when landlords could not be located and were advised that the Council would cover the cost as they had a social responsibility to dispose of waste where it might pose a health risk. Landlords were chased for payment but this process could take time and it was thought preferable to remove the rubbish and send an invoice after the event.
- 8.89 The Forum had previously learned that the Neighbourhood Services Department were responsible for the Good Tenant Scheme and questioned whether details of the scheme could be included on the application form for housing benefit to encourage tenants to sign up and use the scheme. The Assistant Director felt that this was an area that could be explored.

#### **Evidence from the Portfolio Holder for Housing and Transition**

- 8.90 When the Neighbourhood Services Scrutiny Forum met on 9 November 2011, following a Cabinet re-shuffle, Members welcomed the new Portfolio Holder for Housing and Transition to provide evidence in relation to private sector housing schemes.
- 8.91 The Portfolio Holder commented that delays to the extension of selective licensing areas were unfortunate but the reasons for the delay was well reported and in his opinion justified and when licensing was implemented properly it did have a positive effect for local residents. Landlord Accreditation had however only been good at regulating the good landlords; it did nothing to correct the bad landlords. The Council was being proactive in wishing to work with landlords to improve housing streets and neighbourhoods with the pilot scheme in Baden Street being a good example of what could be done when all parties work together.
- 8.92 The Portfolio Holder had recently received a report outlining the wide range of actions that are available to the local authority to tackle problem properties, landlords and tenants. The Portfolio Holder felt that Council had not been using the full range of enforcement open to it and highlighted the use of Section 215 enforcement notices to tidy and repair properties, as a particular example.
- 8.93 The Portfolio Holder made a plea to elected members to report problem empty properties within their wards, as officers needed as much information as possible. The Portfolio Holder felt that the Forum was in a position,

though the investigation, to lobby the town's MP to make it easier for the authority to take quick action to alleviate problems with properties before they became issues that started to 'drag down' whole streets and neighbourhoods. Many of the powers available now were too slow and too cumbersome and frequently the law seemed to be on the side of the owner rather than those suffering the consequences. The Minister for Local Government and the Communities had also proposed changes to the law so properties have now to stand empty for two years rather than 6 months, before action could be taken.

- 8.94 The Portfolio Holder considered that changes in benefits – not just housing benefit but the localisation of management, would have a big effect on housing in the future. The Portfolio Holder explained that the government was allocating funding direct to local authorities but not before top slicing 10% and determining that benefits to pensioners must be protected. As the local authority would have to manage these benefits, the Portfolio Holder could envisage the benefits being paid out being reduced by up to 20% for other recipients. He felt that many individuals and families could be priced out of private rented sector and landlords would need to be realistic on rent levels in the future.
- 8.95 In relation to the quality of housing on offer in the private sector, the Portfolio Holder advised Members that there were powers for the authority to tackle issues such as no heating, damp etc. The Portfolio Holder had asked officers to implement a more robust communication process with private tenants, who were often unaware of their rights, he felt that housing at the lower end of the market was damaging people's health and some investment now would save money later.
- 8.96 The Portfolio Holder believed that private sector tenants were unaware of their rights when it came to the quality of their property and, even if they were aware, they were intimidated by the thought of asking for improvements. Many tenants were also unaware that issues could be dealt with in such a way that the landlord would not know it was the tenant who had reported the issue.
- 8.97 Members commented that there were many tenants that were concerned that complaining about their housing conditions could lead to repercussions with their landlord. It was indicated by the Assistant Director (Regeneration and Planning) that the council could issue orders for problems to be put right and would support tenants coming forward, landlord necessarily need to know that it was the tenant who had raised the concerns. The main problem appeared to be that the majority of tenants were unaware of their rights.
- 8.98 Members considered that it was important to ensure that tenants were made aware of their rights and the powers the authority had to put them right and the Forum would be supportive of measures to publicise this.
- 8.99 The Portfolio Holder considered that while the authority 'needed to show its teeth' through enforcement, much more could be achieved through working

with landlords to ensure good tenants were placed in good quality housing. Enforcement should be targeted at those who did not wish to work with the authority.

- 8.100 The Assistant Director (Regeneration and Planning) commented that there was a need to build upon the landlord / tenant relationship. Enforcement was a tool that could be utilised and one landlord in court could act as an encouragement for others to improve their properties, but bringing landlords 'on side' through their own volition would be much more productive.
- 8.101 With regard to the link between housing and health the Portfolio Holder stressed that he believed that the link was extremely important. There was clear evidence to show that poor housing affected health.

#### **Evidence from Hartlepool Borough Council Health Improvement Team**

- 8.102 At the meeting of the Neighbourhood Services Scrutiny Forum on 9 November 2011, Members welcomed evidence from the Assistant Director, Health Improvement from Hartlepool Borough Council.
- 8.103 The Assistant Director advised the Forum that link between poor housing and health was complex and difficult to assess but research did suggest that poor housing was associated with increased risk of cardiovascular diseases, respiratory diseases and depression and anxiety. There was also hazards in poor housing that could contribute to the risks of accidents. The Assistant Director went on to outline the issues associated with cold houses, the impact of poor housing on children and young people, the level of the problems created by poor housing on health and the campaigns and initiatives to tackle them.
- 8.104 The Assistant Director advised the Forum that nationally there were between 25,000 and 30,000 excess winter deaths, with the North East share of this total being approximately 1700. Low income and poor housing exacerbate health problems making fuel poverty one of the most serious causes of health inequalities. It was estimated that there are approximately 297,000 fuel poor households in the North East.
- 8.105 The Assistant Director provided details of the joint work already being undertaken in this area, including the Winter Warmth Campaign by Cleveland Fire Brigade, the Hotspots Campaign, promotion of the flu vaccine and national initiatives.
- 8.106 The Forum heard that there was a need to secure recurring resources to tackle the health and housing agenda and due to the changes that were underway in public health there was a greater opportunity to concentrate on contributing factors such as this. There was also the potential to integrate this work into that of the shadow Health and Wellbeing Board. There were also opportunities to raise the profile of issues such as the link between health and housing through staff training and in community settings.

- 8.107 The Assistant Director highlighted the work being undertaken by Middlesbrough Council based on the Liverpool Healthy Homes Programme. The Housing and Transition Portfolio Holder, who was also present at the meeting, commented that he wished to tap into some of the health money that was available to deal with one off spending to support schemes to tackle small scale but important works such as insulating homes.
- 8.108 The Forum supported such an approach and questioned if the various health providers could do more to help in this work, even through bringing pressure on the government to tackle the issues of poor housing and its affect on poor health and the inflated costs of energy for those on low incomes. The Chair commented that initiatives such as that in Baden Street could be linked into wider initiatives to highlight the influence of improved housing on health.
- 8.109 The Forum supported that idea of joint working between the NHS and the Council and felt that the feasibility of bringing a scheme such as that operated in Liverpool to Hartlepool should be explored further.

### **Evidence from Durham Tees Valley Probation Service**

- 8.110 At the meeting of the Neighbourhood Services Scrutiny Forum on 18 January 2012 the Forum welcomed representatives from Durham Tees Valley Probation Service, to give evidence in relation to the placement of ex-offenders back into the community into private rented accommodation.
- 8.111 The Forum learned that the issue of housing was central to reducing the re-offending rate, as statistics had shown that those who were homeless, did not access housing support or were living in inappropriate accommodation, were far more likely to reoffend than those who had a decent home, as this could be the only stability they had in their lives.
- 8.112 The representatives from Durham Tees Valley Probation Services highlighted that despite the evidence that having a home when leaving prison reduces re-offending, it was often difficult to arrange suitable accommodation prior to a prisoner's release, which could result in delays of weeks or months before suitable accommodation could be found.
- 8.113 Even those who were housed on release were likely to lose accommodation if they did not receive the right support. Supported accommodation schemes are available, for example to help with alcohol issues, but there are long waiting lists and it can be very difficult to gain a place.
- 8.114 Historically the Probation Service has had to place offenders in whatever accommodation was available, but this was often sub-standard or inappropriate. The Good Tenant Scheme (GTS) has assisted the placement process as it looks at offenders individually, those on a programme may be allocated an amber (provisional) membership. However, the membership card will state the offence but not the packages in place to support the offender, meaning it does not give the landlord a full and complete picture.

- 8.115 The Probation Services were keen to develop their relationship with the Council to share information on progress the offender had made since leaving prison, the support packages available to prevent re-offending and to ensure appropriate housing placements were made. The Probation Service highlighted that they were not permitted to share details of previous convictions with landlords, however risk assessments were undertaken on the likelihood of re-offending and it would assist if these could be accepted as part of the good tenant scheme. The benefits of housing ex-offenders in their local communities to reduce the risk of re-offending were outlined.
- 8.116 Members of the Forum were supportive of the Probation Services and the Housing Services Team taking discussions regarding the Good Tenant Scheme and the use of information further.
- 8.117 Another problem highlighted by the Probation Service was the use of accommodation out of the area, due to this being the only accommodation available. Members were advised that this can hamper the progress of an offenders and relationships with key professional such as probation staff, drugs workers and treatment nurses can break down. The offenders can also return to the area of their own accord having fallen out of treatment or programmes, making the situation worse.
- 8.118 Schemes such as Community Campus were highlighted as working very well but, this is only resourced to work with a relatively small number of offenders. Members heard that there is only positive feedback for this scheme. The need for more schemes of this type was emphasised.
- 8.119 The Probation Service representatives advised the Forum of the problems offenders finding their own accommodation and landlord can cause. If the Probation Service is not made aware that the offender has found accommodation, a support package and a risk management plan will not be put in place.
- 8.120 Members questioned what they could do to assist with building the trust of communities in relation to the housing of offenders and were advised by the Probation Services representatives that a problem was often lack of information regarding the behaviour of the offender. As a member of the joint action group (JAG) which contains Police and housing amongst other services, the Probation Service can step in if they are made aware of problems, but often they are not informed. Members were advised that information sharing is key to enable the Probation Service to address offenders' behaviour.
- 8.121 The Assistant Director (Regeneration and Planning) advised the representatives of the Probation Service about the Landlord Steering Group and extended an invitation to attend the group and highlight some of the difficulties the Probation Service faces housing offenders. The Forum was supportive of this as a way forward.

### **Feedback from Tenant Focus Groups & Questionnaires**

- 8.122 The Forum was very interested in the views of private sector housing tenants, landlords and local residents in areas of high private rented housing. In order to gather as much opinion as possible Members held two focus groups within local community settings and also published questionnaires for landlords and tenants, the results of which were discussed by the Neighbourhood Services Scrutiny Forum at the meeting of 26 October 2011.
- 8.123 There were mixed views from both tenants and landlords as to the success of the schemes with some landlords feeling that they were being penalised for co-operating with the schemes whilst no action had been taken against bad Landlords.
- 8.124 One landlord felt that bad landlords keep bad tenants in properties rather than dealing with problems, this in turn caused problems for good landlords and tenants, there was a concern that as areas would become full of bad landlords and tenants that they will become areas where families will not want to live causing a downward spiral.
- 8.125 The landlords identified that in order to influence decent people to move back into areas and regenerate the area there needed to be increased publicity about what is being done, and once tenants moved back in they need strong back up from the Council should things start to go wrong, as at the moment landlords tend to deal with problem neighbours themselves.
- 8.126 The majority of respondents to the tenant questionnaire did not feel that being part of the good tenant scheme had helped them to find quality accommodation and having a landlord that participated in private sector housing schemes had benefitted them as a tenant. It should be noted that there was a very low response rate to the questionnaires, which took place prior to the department actively increasing enforcement action.

## **9 IMPACT OF CURRENT AND FUTURE BUDGET PRESSURES AND HOW PRIVATE SECTOR HOUSING SCHEMES COULD BE PROVIDED IN THE FUTURE**

- 9.1 Members of the Neighbourhood Services Scrutiny Forum were keen to explore the impact of current and future budget pressures and to examine how private sector housing schemes could be provided in the future. The Forum considered evidence as follows:-

### **Evidence from Middlesbrough Borough Council**

- 9.2 At the meeting of the Neighbourhood Services Scrutiny Forum on the 26 October 2011 Members considered evidence from Middlesbrough Council. The Forum learned that the Council was looking to develop a private rented housing strategy and was working with groups and carrying out consultation



to gather information regarding the private rented sector, particularly in areas that were not regeneration areas as the sector is changing dramatically.

- 9.3 The Forum also heard that Middlesbrough Council was looking to start a small scheme with private sector landlords to house homeless households, though resourcing this was a problem. The Council was also hoping to put in a bid for some funding to regenerate empty homes, and was also aware that the change to housing benefits would impact on the area.

### **Evidence from Durham County Council**

- 9.4 At the meeting of the Forum on 26 October 2011 Members received evidence from Durham Council in relation to how they see Private Sector housing Schemes being provided in the future.

- 9.5 The representatives from Durham County Council identified that their outcomes for success in the future would be:-

- Raise awareness of services available and to engage and educate;
- Prioritise and Focus and be proactive rather than reactive;
- Information Sharing is Key – Referencing;
- Development of Joint Operational Protocols linking to ASB Escalation Policy, Environmental Protection and Housing Solutions;
- Good ICT system for accessible to network;
- Use of all available enforcement powers including Management Orders /ASB Closures; and
- Recognition at Local Multi Agency Problem Solving forums.

- 9.6 Members were keen to gain an understanding of how Durham Council planned to maintain levels of service for the private rented sector given the current economic climate. The Area Based Housing Regeneration Manager advised Members that support would be targeted around the eight regeneration areas and there would be a reorganisation of the service with empty homes and landlord services being amalgamated.

- 9.7 Members also questioned whether Durham had considered moving away from selective licensing and were advised by the Durham Council representatives that an evaluation of services was due to be carried out with in the next 12 months and no decisions would be taken until that had taken place. The main advantage of selective licensing was good engagement with landlords, which officers felt, was vitally important and fundamental to housing provision particularly given changes contained within the localism bill.

### **Evidence from Stockton Borough Council**

- 9.8 During the meeting of the Neighbourhood Services Scrutiny Forum on 26 October 2011 Members received written evidence from Stockton Council. The Forum noted that Stockton's 2009 Stock Condition Survey highlighted that £42million was required to remedy non decent homes and £16million

was required to remove category 1 hazards under the Housing Health and Safety Rating Scheme – a standard by which the condition of a property is assessed upon inspection.

- 9.9 Due to a lack of sufficient finance to deal with the extent of the problem, Stockton have developed a new strategic direction for dealing with properties in disrepair and in need of renovation. The emphasis of this is to achieve positive health outcomes through the provision of timely and effective interventions rather than simply focusing on improving poor housing conditions.
- 9.10 Key to the success of this objective is the targeting of housing conditions that have the biggest impact on the health of residents, a focus on the removal of category 1 hazards only. The Council will look to remove damp and perished wall plaster by providing a damp proof course and at the same time provide an efficient, effective heating system to remedy excess cold rather than look to carry out additional works to the whole of the house that may not necessarily have a negative impact on the occupier's health.
- 9.11 To ensure resources are effectively targeted to those most at risk and to obtain the biggest impact from limited funding Stockton Council works successfully with colleagues in Health and in Social Care. Housing Services are represented at both Partnership and Management Team levels of the Health and Well Being Partnership and at the Housing and Neighbourhood Partnership.
- 9.12 Through active membership of the Health and Well Being Partnership Stockton have successfully bid for PCT funding to provide financial assistance to remove category 1 hazards for the past two years. This funding not only eliminates the category 1 hazards it also reduces NHS expenditure on medical treatment and hospital care.
- 9.13 Stockton Council Housing Services actively contributes to the annual statutory Joint Strategic Needs Assessment between the PCT and the Council, which highlights the links between poor housing and poor health and the affects an increasing older population will have on available budgets for disabled adaptations.

#### *Current funding position*

- 9.14 The Government announced that it will no longer provide funding to Councils for private sector housing renewal and has reduced the funding for Disabled Facilities Grants. At Stockton there has been an 88% reduction in capital funding to improve housing conditions and a reduction of 34% in Disabled Facilities Grant funding.
- 9.15 The consequences of large budget reductions are very significant as over the last three years the number of requests for financial assistance has increased by 21% and the number of requests for Disabled Facilities Grants has increased by 38%. Similarly, the number of requests for service from

tenants in the private rented sector has increased by 24% over the same time period. This increase in demand for services is a direct result of the current economic climate and is set to increase due to recently announced changes to the Local Housing Allowance, homelessness duties and changes to social housing tenancies that will significantly increase demand in the private rented sector. In the past 8 months, there has been a 40% reduction in the number of officers working in the Private Sector Housing Division.

### **Evidence from Hartlepool Council Health Improvement Team**

- 9.16 At the meeting of the Neighbourhood Services Scrutiny Forum of 18 January 2012 the Assistant Director of Health Improvement provided Members with an update on work that had been carried out in relation to the links between poor housing standards and poor health, since her attendance at the Forum meeting on 9 November 2011.
- 9.17 The Assistant Director of Health Improvement informed the Forum that since the her attendance a the Forum meeting discussions had taken place with the Housing and Transition Portfolio Holder and the Assistant Director of Regeneration and Planning on the way forward in terms of pursuing joint working with the NHS, with a view to improving housing stock in the town and identifying those most vulnerable in terms of health via a pilot scheme.
- 9.18 Members noted that it was intended that a proposal would be developed in the coming weeks to work with the Health Service to identify a practical solution to the issues raised. It has reported that the Shadow Health and Wellbeing Board had looked at winter warmth and housing poverty indicating that housing was a key issue in the Health and Wellbeing Strategy.
- 9.19 The Housing and Transition Portfolio Holder, who was also in attendance at the meeting, welcomed the proposals and emphasised the importance of joint working between the NHS and the Council to establish the links and working in partnership to address the problem areas. The need to explore issues that contributed to poor health and the benefits of creating healthy homes, as well as obtaining evidence of good practice from other local authorities was emphasised.
- 9.20 The Assistant Director of Health Improvement made reference to the benefits of a pilot scheme arrangement to identity, through the NHS, those most vulnerable in terms of health as well as the potential long term financial savings to the health service in tackling prevention issues of this type.
- 9.21 Members supported the proposals and were keen to secure health funding as suggested to promote this initiative, the Forum reiterated their suggestion that any proposals were reflected in the Joint Strategic Needs Assessment.

### **Evidence from the Housing Services Team**

- 9.22 At the meeting of the Neighbourhood Services Scrutiny Forum on 29 February 2012 Members welcomed evidence from the Assistant Director

(Regeneration and Planning) in relation to the work undertaken to date on enforcement.

- 9.23 Members learned that an overarching housing services enforcement policy was approved by the Portfolio Holder for Housing and Transition on 18 October 2011 and that this encompassed all enforcement aspects of Housing Services, rather than introducing new powers its main purpose was to consolidate existing policies.
- 9.24 The Assistant Director provided the Forum with a summary of enforcement activity from April 2011 as follows:-

#### Empty Homes

- Empty Homes Officer appointed in April 2011 working with owners to bring empty homes back into use through an incentive and enforcement approach.
- Use of informal approach to return properties to occupation.
- Partnership working with Housing Hartlepool (Vela Group) utilising funding through Homes and Communities Agency currently working to bring properties back into use – 26 currently being considered as part of a lease and repair scheme. Improvement works are due to commence in March.
- Baden Street improvement scheme has been implemented including work to return empties to occupation. 16 out of 19 empty property owners are now actively engaged in the scheme.
- To date 2 empty properties on Baden Street have been re-let and improvement works are due to commence in March 2012. Owners who fail to engage in the scheme will be referred for enforcement action.
- 'Top 20' list of empty properties that have been empty the longest targeted.
- All owners have been contacted and have either brought their property back into use, have firm plans to do so or enforcement action has been identified.
- 66 empty properties had been returned into use by the end of December against the annual target of 57. This figure records any intervention by the Council which has resulted in a property being brought back into use. This can range from informal discussions with owners through to enforcement action.

#### Housing Market Renewal (HMR)

- The Council took ownership of all properties on the Perth/Hurworth Street area through the CPO process. All residents were relocated prior to this and now the properties have been made safe and secured prior to demolition.
- Funding has been identified through the HMR transition fund for the delivery of Carr/Hopps and approval will shortly be sought for the match-funding requirement.

Housing Standards/Nuisance

- With regards to the work of the Housing Standards Officers, almost 90% of the requests for service made related to disrepair, empty properties and nuisances.
- Proactive work has also been undertaken including-
  - area based walkabouts, including the Housing Market Transition site (Carr/Hopps) and closer liaison with neighbourhood managers to identify problematic empties and nuisance properties;
  - a major inspection programme of privately rented properties in the selective licensing areas;
  - work in the Perth/Hurworth Street CPO area to deal with disrepair issues; and
  - preparation work for using section 215, Town and Country Planning Act 1990 powers to deal with properties adversely affecting the amenity of a neighbourhood.
- The number of reports of disrepair has remained steady over the course of the year, with an average of 60 per quarter; the majority have been resolved without the need to take formal enforcement action.
- In terms of enforcement action taken, four Housing Act 2004 improvement notices have been served and three notices were served under the provisions of the Environmental Protection Act 1990 as the premises were considered to be prejudicial to health.
- In one case Emergency Remedial Action was taken under the Housing Act 2004 to deal with a situation that involved an imminent risk to health. Despite being available for a number of years, this is the first time such a course of action has been taken in Hartlepool.
- Complaints regarding empty properties peaked in the second quarter of the year and we believe that this has been a result of having an increased presence in problematic areas and attendance by the Empty Homes Officer at residents meetings.
- 27 notices were served to require the securing of empty dwellings and 16 notices were served requiring the abatement of nuisance associated with empty properties e.g. to remove rubbish from within the property boundaries.
- There has been a dramatic decline in the number of complaints received about nuisance properties from 99 in the first quarter to 48 in the last. The reason for this is not clear but may be accounted in some part by the increase in proactive work carried out.
- 61 notices were served with regards to nuisance arising from occupied properties.

Selective Licensing

- 43 licences have been issued in the selective licensing areas in 2011/12, taking the total licensed to 569.
- 203 inspections have been carried out on licensed properties with 120 schedule of works sent with recommendations for action.

- In terms of the selective licensing inspections carried out, follow up inspections are being undertaken and referred for enforcement action where necessary.
- 134 notices have been served for non-supply of gas or electrical certificates.
- 68 court applications for breach of licence condition being prepared.
- No licenses have been refused to date as officers work closely with Landlords to ensure applications can be successful.

- 9.25 The Forum learned that the top 20 properties that had been empty the longest had all now been addressed. With the exception of one property that was in dispute with Crown Estates the rest were being brought back into use by either the owner, housing Hartlepool or were going through compulsory purchase. Once a satisfactory outcome had been achieved for these houses officers would move onto the next 20 on the empty homes list.
- 9.26 Members of the Forum were very pleased with the amount of work that had been undertaken in this area since the start of the scrutiny investigation and congratulated the department on the real strides forward that had been made since the restructure of the services. The Forum noted that, as part of the work undertaken, there was now evidence to support the next phase of selective licensing, should the Council determine that this was the way forward. It could be proven that the scheme had brought areas back in to use and improved the quality of management of properties within the selective licensing areas.
- 9.27 The Assistant Director advised Members on the progress of the Healthy Homes initiative suggested as part of the scrutiny investigation. The department would like to put together a pilot scheme to identify individuals who may receive health benefits from improvements to their properties. Once these individuals had been identified the Department's vision was to carry out the required work and monitor the results over a sustained period of time through a number of measures such as the number of GP visits etc. The results could then be compared to the data from a period before the intervention took place, in an attempt to determine the health benefits derived from improvements to the property. The Assistant Director was currently discussing the funding surrounding the pilot scheme with the PCT.
- 9.28 The Forum fully endorsed and supported the development of this initiative as an early intervention method to improve the health of those in poor quality housing.

## 10 CONCLUSIONS

- 10.1 The Neighbourhood Services Scrutiny Forum concluded:-

- (a) That during the course of the investigation Members were very pleased to note the significant progress that had been made in the service delivery of private sector housing schemes since the reorganisation of the housing services department;

- (b) That current legislation in relation to metal thefts was not adequate to deter would be thieves;
- (c) That the changes to housing benefit legislation were likely to impact on child and family poverty in Hartlepool;
- (d) That the reasons for providing support and grants to private sector landlords to renovate properties had not been communicated effectively to the public;
- (e) That for a number of reasons some of the landlords who participated in the investigation did not see the benefit of using the Good Tenant Scheme;
- (f) That Healthy Homes schemes are a proactive way of tackling health inequalities caused by poor quality housing and are beneficial to tenants, the Council and the NHS;
- (g) That the private sector tenants may not be aware of their rights in relation to the standard and maintenance of their property required by their landlord; and
- (h) That the provision of suitable housing was a key element to the prevention of re-offending.

## 11 RECOMMENDATIONS

11.1 The Neighbourhood Services Scrutiny Forum has taken evidence from a wide range of sources to assist in the formulation of a balanced range of recommendations. The Forum's key recommendations to Cabinet are as outlined below:-

- (a) That the ring-fencing of selective licensing income should continue, to secure the provision of the scheme in the future;
- (b) That representations are made to the Hartlepool MP to lobby for legislation relating to the theft of metal to be strengthened and fines increased;
- (c) That the Housing Services Team undertake awareness raising activities with Hartlepool Borough Council Staff, Elected Members and service users to ensure that the impact of changes to housing benefit legislation are communicated and factored in to advice provided to potential claimants;
- (d) That Hartlepool Borough Council explore methods to introduce and fund a Healthy Homes Scheme in conjunction with NHS Hartlepool;

- (e) That communication with the public is improved to highlight the regeneration benefits that result from the provision of loans and grants to private landlords to renovate properties in specific areas of the town;
- (f) That additional ways to enable landlords to leave feedback for the Good Tenant Scheme, including online methods be explored;
- (g) That the link between poor housing and poor health is recognised in the Joint Strategic Needs Assessment;
- (h) That the feasibility of including details of the Good Tenant Scheme within housing benefit application packs is assessed;
- (i) That publicity is undertaken to inform private rented tenants of their rights in relation to the condition of their homes and the powers the authority has to ensure landlords maintain properties to a decent standard;
- (j) That Hartlepool Borough Council works with the Probation Service to explore the use of Probation Service risk assessments and information regarding support packages in place for ex-offenders, as part of the Good Tenant Scheme assessment;
- (k) That an invitation is extended to the Probation Service to attend the Landlord Steering Group to further develop the relationship and information sharing practices between the Probation Service, landlords and the Council.

## ACKNOWLEDGEMENTS

The Committee is grateful to all those who have presented evidence during the course of our investigation. We would like to place on record our appreciation, in particular of the willingness and co-operation we have received from the below named:-

### Hartlepool Borough Council:

The Mayor – Stuart Drummond  
 Councillor Jonathan Brash – Portfolio Holder for Housing and Transition  
 Dave Stubbs – Director of Regeneration and Neighbourhoods  
 Damien Wilson – Assistant Director (Regeneration and Planning)  
 Denise Ogden – Assistant Director (Neighbourhood Services)  
 Louise Wallace – Assistant Director of Health Improvement  
 Nigel Johnson – Housing Services Manager

### External Representatives:

Nigel Budd – Housing Hartlepool  
 Mark Dutton – Housing Hartlepool  
 Janine Turner – Middlesbrough Council  
 Stuart Wears – Middlesbrough Council



Angela Stephenson –Durham County Council  
Diane Hedley – Durham County Council  
Alan Ridden – Landlord Steering Group Representative  
Sue Thompson – Landlord Steering Group Representative  
Terry Campbell – Mowbray Properties  
Gemma Sparrow – Durham Tees Valley Probation Service  
Julie Keay – Durham Tees Valley Probation Service  
Local Residents

**COUNCILLOR STEPHEN THOMAS  
CHAIR OF THE NEIGHBOURHOOD SERVICES SCRUTINY FORUM**

**April 2012**

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**BACKGROUND PAPERS**

The following background papers were consulted or referred to in the preparation of this report:-

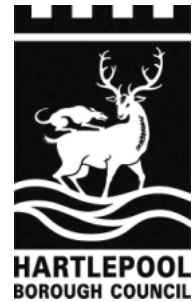
- (i) Report of the Scrutiny Support Officer entitled 'Scrutiny Investigation into 'Private Sector Housing Schemes – Scoping Report', presented to the Neighbourhood Services Scrutiny Forum of 27 July 2011.
- (ii) Report of the Scrutiny Support Officer entitled 'Scrutiny Investigation into Private Sector Housing Schemes – Setting the Scene Presentation – Covering Report' presented to the Neighbourhood Services Scrutiny Forum of 27 July 2011.
- (iii) Presentation of the Assistant Director (Regeneration and Neighbourhoods) entitled 'NSSF Investigation: Private Sector Housing Schemes' presented to the Neighbourhood Services Scrutiny Forum of 27 July 2011.
- (iv) Report of the Scrutiny Support Officer entitled 'Scrutiny Investigation into Private Sector Housing Schemes – Evidence from Hartlepool Borough Council Housing Services Team – Covering Report' presented to the Neighbourhood Services Scrutiny Forum of 14 September 2011.
- (v) Report of the Assistant Director (Regeneration and Planning) entitled 'Scrutiny Investigation into Private Sector Housing Schemes – Stage 2 Operation and Performance' presented to the Neighbourhood Services Scrutiny Forum of 14 September 2011.
- (vi) Presentation of the Assistant Director (Regeneration and Planning) entitled 'NSSF Investigation: Private Sector Housing Schemes Stage 2 – 'Operation and Performance' presented to the Neighbourhood Services Scrutiny Forum of 14 September 2011.
- (vii) Report of the Scrutiny Support Officer entitled 'Scrutiny Investigation into Private Sector Housing Schemes – Evidence from the Portfolio Holder for

- Community Safety and Housing – Covering Report’ presented to the Neighbourhood Services Scrutiny Forum of 14 September 2011.
- (viii) Report of the Scrutiny Support Officer entitled ‘Scrutiny Investigation into Private Sector Housing Schemes – Evidence from the Hartlepool Landlords Steering Group – Covering Report’ presented to the Neighbourhood Services Scrutiny Forum of 14 September 2011.
  - (ix) Report of the Scrutiny Support Officer entitled ‘Scrutiny Investigation into Private Sector Housing Schemes – Evidence from Housing Hartlepool – Covering Report’ presented to the Neighbourhood Services Scrutiny Forum of 14 September 2011.
  - (x) Report of the Scrutiny Support Officer entitled ‘Scrutiny Investigation into Private Sector Housing Schemes – Evidence from Middlesbrough Council – Covering Report’ presented to the Neighbourhood Services Scrutiny Forum of 26 October 2011.
  - (xi) Presentation of the Strategic Housing Services Manager and the Principal Environmental Health Officer from Middlesbrough Council entitled ‘Private Sector Housing’ presented to the Neighbourhood Services Scrutiny Forum of 26 October 2011.
  - (xii) Report of the Scrutiny Support Officer entitled ‘Scrutiny Investigation into Private Sector Housing Schemes – Evidence from Durham County Council – Covering Report’ presented to the Neighbourhood Services Scrutiny Forum of 26 October 2011.
  - (xiii) Presentation of representatives from Durham Council Housing Renewals and Improvements Services entitled ‘Private Sector Housing Initiatives’ presented to the Neighbourhood Services Scrutiny Forum of 26 October 2011.
  - (xiv) Report of the Scrutiny Support Officer entitled ‘Scrutiny Investigation into Private Sector Housing Schemes – Written Evidence from Stockton Council’ presented to the Neighbourhood Services Scrutiny Forum of 26 October 2011.
  - (xv) Report of the Scrutiny Support Officer entitled ‘Scrutiny Investigation into Private Sector Housing Schemes – Evidence from the Neighbourhood Services Team – Covering Report’ presented to the Neighbourhood Services Scrutiny Forum of 26 October 2011.
  - (xvi) Presentation of the Assistant Director of Neighbourhood Services entitled ‘Neighbourhood Services’ presented to the Neighbourhood Services Scrutiny Forum of 26 October 2011.
  - (xvii) Report of the Scrutiny Support Officer entitled ‘Private Sector Housing Schemes – Feedback from Tenant Focus Groups and Responses to Questionnaires – Covering Report’ presented to the Neighbourhood Services Scrutiny Forum of 26 October 2011.
  - (xviii) Report of the Scrutiny Support Officer entitled ‘Private Sector Housing Schemes – Evidence from the Authority’s Portfolio Holder for Housing and Transition – Covering Report’ presented to the Neighbourhood Services Scrutiny Forum of 9 November 2011.
  - (xix) Report of the Scrutiny Support Officer entitled ‘Private Sector Housing Schemes – Evidence from the Health Improvement Team – Covering Report’ presented to the Neighbourhood Services Scrutiny Forum of 9 November 2011.

- (xx) Presentation of the Assistant Director of Health Improvement entitled 'Health and Housing' presented to the Neighbourhood Services Scrutiny Forum of 9 November 2011.
- (xxi) Report of the Scrutiny Support Officer entitled 'Private Sector Housing Schemes – Evidence from Durham Tees Valley Probation Service – Covering Report' presented to the Neighbourhood Services Scrutiny Forum of 18 January 2012.
- (xxii) Report of the Scrutiny Support Officer entitled 'Private Sector Housing Schemes – Evidence from the Health Improvement Team – Covering Report' presented to the Neighbourhood Services Scrutiny Forum of 18 January 2012.
- (xxiii) Report of the Scrutiny Support Officer entitled 'Private Sector Housing Schemes – Evidence from the Housing Services Team – Covering Report' presented to the Neighbourhood Services Scrutiny Forum of 18 January 2012.
- (xxiv) Report of the Scrutiny Support Officer entitled 'Private Sector Housing Schemes – Evidence from the Housing Services Team – Covering Report' presented to the Neighbourhood Services Scrutiny Forum of 29 February 2012.

## **SCRUTINY CO-ORDINATING COMMITTEE**

**13 April 2012**



Report of: Museum and Art Gallery Collection Working Group

Subject: DRAFT FINAL REPORT INTO 'THE BOROUGH COUNCIL MUSEUM AND ART GALLERY COLLECTION'

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### **1. PURPOSE OF REPORT**

- 1.1 To present the draft findings of the Museum and Art Gallery Collection Working Group following its investigation into the Borough Council Museum and Art Gallery Collection.

### **2. BACKGROUND INFORMATION**

- 2.1 At the meeting of this Committee on 24 June 2011, Members determined their work programme for the 2011/12 Municipal Year. The issue of 'The Borough Council Museum and Art Gallery Collection' was selected as the Scrutiny topic for consideration during the Municipal Year. Members agreed that the investigation be undertaken through the formation of a Working Group.

### **3. OVERALL AIM OF THE SCRUTINY INVESTIGATION**

- 3.1 The overall aim of the Scrutiny investigation was to better understand the nature of the Museum and Art Gallery collections held within the possession of the Council.

### **4. TERMS OF REFERENCE FOR THE SCRUTINY INVESTIGATION**

- 4.1 The following Terms of Reference for the investigation were agreed by the Scrutiny Co-ordinating Committee on 2 September 2011:-
- (a) To gain an understanding of the range, relevance and value of the Museum Service collections held by the Council and the ongoing costs to maintain/store the collection;
  - (b) To explore the current status of the collections, their use, educational impact, distribution/location and the processes and procedures for accessioning/archiving artefacts; and

- (c) To explore the potential options for the future of the collection, taking in to consideration the legal status, ethical considerations and challenging budget situation that the Authority faces.

## **5. MEMBERSHIP OF THE MUSEUM AND ART GALLERY COLLECTION WORKING GROUP**

- 5.1 The membership of the Museum and Art Gallery Collection Working Group was as detailed below:-

Councillors Cook, Griffin, James, Loynes, Preece, Thomas and Wilcox

## **6. METHODS OF INVESTIGATION**

- 6.1 Members of the Museum and Art Gallery Collection Working Group met formally from 23 September 2011 to 16 March 2012 to discuss and receive evidence relating to this investigation. A detailed record of the issues raised during these meetings is available from the Council's Democratic Services.

- 6.2 A brief summary of the methods of investigation are outlined below:-

- (a) Presentations by officers from the Child and Adult Services Department supplemented with verbal evidence;
- (b) Site visit to the Museum of Hartlepool and Sir William Gray House / Stores to look at the Museum Collection; and
- (c) Visit to the Civic Centre Strong Room to look at the Civic Collection;

## **7. FINDINGS**

### **THE RANGE, RELEVANCE AND VALUE OF THE MUSEUM SERVICE COLLECTIONS AND THE ONGOING COSTS TO MAINTAIN/STORE THE COLLECTION**

- 7.1 Members welcomed evidence from the Assistant Director of Community Services, who provided information on the range and relevance of the collection; the value of the collection; and the costs of storage and maintenance of the collection.

#### Range and Relevance of the Collection

- 7.2 The Council's Museum Service possesses a fine collection of historical objects, information and artworks. These are displayed within the Museum of Hartlepool, the Hartlepool Art Gallery and selected buildings such as the Civic Centre and Borough Buildings, either as part of the permanent historical displays or as changing exhibitions. When not on display these are held in storage. The collections are used as valuable reference collections for researching the history and cultural identity of the town.

- 7.3 The first museum in Hartlepool was the West Hartlepool Athenaeum, however, it is not known whether any artefacts or collections still remain today. The founding collections were donated from a number of sources including local residents, industrialists, benefactors, and building covenanted. The modern collections date from the opening of the Gray Art Gallery and Museum in 1920, which was donated as a gift to the town by the founder, Sir William Creswell Gray in recognition and thanksgiving for the safe return of his son from the First World War. Major improvements to the Service were undertaken in the mid 1990's as part of the City Challenge and the Teesside Development Corporation investment into Hartlepool. Hartlepool Museums have been recognised as a major regional service, achieving Renaissance funding in 2003 to provide sub regional activity. This was achieved due to the merit and the high visitor attendances achieved by the service.
- 7.4 Members were shown a timeline of items which have been collected over more recent years:-

### **1960s**

Additions to the Contemporary Art Collection: Hartlepool has an impressive and important collection of over 1,000 pieces of fine art. The collection is mainly Victorian and Edwardian in period, largely as a result of the founding collection by Sir William Gray. With few exceptions, most subsequent collecting has been works of artists living or working at least part of their lives in the Hartlepool area. The works are by the internationally renowned, as well as locally working amateur artists. The most notable artists include Daniel Maclise, Lucian Freud and Frank Auerbach, Stanhope Alexander Forbes, and John Wilson Carmichael. There are also a number of works by locally born artists such as Frederic Shields, James Clark and Frank Henry Mason.

### **1970s**

Maritime Collections (Maritime Museum 1971) and industry: The Maritime Collection is made up of ship models, photographs, company records, ephemera and some equipment.

### **1980s**

Social history, ephemera, ships' plans, archaeology, Wingfield Castle: The collection contains around 35,000 plans for the building of around 300 ships built by Hartlepool including the Wingfield Castle. Almost all the plans relate to ships built by Grays shipyard from 1927 to the yards closure in 1961. When the shipyard closed, the plans were still of importance and often bought by other ship builders. In the mid 1980's many of the plans were returned to Hartlepool and now feature in the collection. A hugely informative collection is that preserved by Robert Wood, a local historian, which contains over 40,000 examples of 19th century and early 20th century ephemera, manuscript material and posters from the Hartlepool printing firm owned by John Procter. The collection reflects the social aspects of life as well as the industry in the town.

## **1990s**

Active collecting for new displays in Museum of Hartlepool

## **2000s**

Expansion of education, outreach, learning exhibitions and publications

### Value of the Collection

- 7.5 Members were informed that new Audit Commission asset valuation guidance for Local Government is recommending as good practice that a re-valuation be carried out every 5 years, as opposed to the previous practice of a ten year re-valuation.
- 7.6 The current insurance valuation of the collections is £13,408,832. This valuation is not necessarily the worth or sale price but is based on either new replacement value; second hand replacement value; facsimile value; or compensation value. This valuation was completed in February 2012 and at the request of the Working Group, includes the Civic Ceremonial Silver and Civic Regalia (Civic Collection). Members requested that the items from the Civic Collection which are of historical or social economic value be accepted into the Museum collection and cared for in the correct way, (as some items had been damaged by flooding while in storage). Members suggested that these items are exhibited, where appropriate, in the secure environment provided by the Museum.
- 7.7 Members were aware that the Council hold a number of items in storage for others at a cost to the Council. Therefore, Members requested that the owners be contacted and asked to claim their items. If not claimed, then the Council take ownership of them, with the items of historical / social economic value being added into the Museum collection and other items disposed of ethically.
- 7.8 Members questioned the values of a number of public art works, mainly sculpture and streetscape features, which are not in the Museum collection, for example, the red head sculpture 'The Watcher' and whether these were insured. It was clarified that these items are not required to be individually valued but are included within the broader Council property asset base and placed on the asset register for statutory accounting purposes.

### Storage and Maintenance of Collection

- 7.9 Members were informed that the collection is maintained by one full time Curatorial Officer / Collections Officer. In relation to the storage of the collections, there is one secure, heavy load, air conditioned store, one secure art store and one secure general store, all within Council property. The percentage of collections in storage varies depending on changes to exhibitions and temporary exhibitions but Members noted that the percentage of collections on display is the highest in service history.

- 7.10 The Working Group queried whether the Council could charge to loan its items to other exhibitions. Members were informed that the Council does not currently charge for loaned items. However, the loan is at no cost to the Council, as the cost for insurance; transportation; conservation of the item while it is on loan; and restoration of the item (if required) is covered by the person borrowing the item.
- 7.11 Members supported the exploration of ways to further improve access to the collection by using the improved storage area for the archaeological material.

**8. THE CURRENT STATUS OF THE COLLECTIONS, THEIR USE, EDUCATIONAL IMPACT, DISTRIBUTION/LOCATION AND THE PROCESSES AND PROCEDURES FOR ACCESSIONING/ARCHIVING ARTEFACTS**

- 8.1 Members were very interested to view the collections to see how they are stored, used and displayed. Therefore, Members visited the Museum of Hartlepool and Sir William Gray House.

Site Visit to the Museum of Hartlepool and Sir William Gray House

- 8.2 Members indicated that they found the visit very interesting and informative and it highlighted a number of different working practices and arrangements. Members viewed a number of permanent and temporary exhibitions which covered different topics and eras. The home front of World War was a very popular exhibition and Members supported the option of displaying this exhibition on a permanent basis in the future.
- 8.3 It was noted by Members that there were gaps in historical content of some of the exhibitions displayed within the Museum. Members emphasised the importance of telling the whole story of Hartlepool and it was essential to try and collect all items that are missing from the collection. The importance of collecting items within families from elder generations was highlighted by Members; examples included minesweeping artefacts and memorabilia in relation to the fishing industry in the Second World War. It was suggested that contacting local regimental organisations may prove beneficial in identifying items of local interest in relation to war service experiences.
- 8.4 The Working Group suggested promoting the opportunity for the public to donate items to the collection through a regular article in the Council's magazine, Hartbeat, specifying examples of the types of artefacts required and sample photographs.
- 8.5 Members were of the opinion that engaging with the public is very important and a social history trawl would prove useful to find artefacts that are missing from the collection.



Current Use of the Collections

8.6 Members were informed about the different ways in which the collections are used today, as illustrated below:-

- (a) Educational purposes. Over 14,000 school children visited the museums last year with up to 70% from local schools. In addition to this a significant amount of work is undertaken within schools and items from the collection are loaned to schools;
- (b) Outreach (for example, handling sessions, use of collections as inspiration, reminiscence);
- (c) Displays in public buildings (for example, the Civic Centre);
- (d) Loans to other institutions (for example, the Lucian Freud is currently on display in the National Portrait Gallery in London);
- (e) Exhibitions (permanent and temporary);
- (f) Events (for example, the Wingfield Castle is to be used within the Queen's Diamond Jubilee Festival);
- (g) Scholarship and research; and
- (h) Preservation and conservation of cultural property

8.7 Members welcomed the expansion and development of the Museum exhibitions (by seeking external funding) to redisplay, further improve interpretation and increase the numbers on display, with a target opening for 2020, which is the Museum Service's 100<sup>th</sup> anniversary. Members also agreed that 'designation' should be sought for the Maritime Collections. Designation is a special award that is considered of great importance to the Museums, Libraries and Archives Council; it recognises collections deemed to be of national and international importance based on their quality and significance.

Accessioning and Archiving

8.8 Members were pleased to hear that the Museum Service has Accredited Status, awarded by the Museums, Libraries and Archives Council, which is the highest achievable quality standard. All Museum Services aspire to this standard as it is important to secure partnership support and funding towards the ongoing development and management of the service. The Museum Service works to the Museum Association Code of Practice and Code of Ethics.

8.9 The Working Group was informed that all the collections are accessioned and audited and some of the accessions include multiple items, for example, the Robert Wood Collection, which contains 55,000 separate items. The

accessions register dates back to the 1920's, and over the years has developed from a hand written ledger to computerised records. The register contains all the information that is known about the item, for example, whether the item was purchased outright, on loan to the Council, or purchased with grant aid. Members acknowledged that if items were purchased with grant aid and then disposed of, the grant aid would have to be paid back.

- 8.10 All accredited museums are required to have a formally adopted Collections, Acquisitions and Disposals Policy. Hartlepool Museum Service has this policy and it is due for renewal in the 2012/13 Municipal Year. The policy is the guiding document which gives approval to the range of relevant material which the service will focus upon for its collecting policies. Members of the Working group expressed an interest in being involved in the review and development of this Policy.

## **9. THE POTENTIAL IMPLICATIONS OF DISPOSING OF ITEMS WITHIN THE MUSEUM COLLECTION**

- 9.1 In relation to disposal, items which have no particular connection or relevance to the town or areas where duplication exists are disposed of ethically and the standard ethical process is to offer these items to other museum services. If items are considered for sale, there are strict guidelines which need to be followed. To avoid conflict with the Accredited Museum Status such sales are very closely monitored and should only be for the benefit of the collection itself, either through reinvestment in the acquisition of appropriate items or in certain circumstances the investment in the wellbeing of the remaining collection, for example, improving storage facilities.
- 9.2 The sale of works for non museum purposes is unethical and will result in the loss of Accredited Museum Status, which can result in pariah reputation, loss of opportunities for grants and drawback. Also, the Heritage Lottery Fund are mindful of the Council not following ethical procedures on collections which could mean that not only would the Museum Service be unable to bid for grants in future, but the Council itself could be debarred and therefore would be unable to apply for funding.
- 9.3 Members did seek assurance that if the Council was to enter into a Trust arrangement with another Local Authority, then the ownership of the collection would not be jeopardised and would still remain the property of Hartlepool Borough Council.

## **10. OPTIONS FOR THE FUTURE OF THE COLLECTION, TAKING INTO CONSIDERATION THE LEGAL STATUS, ETHICAL CONSIDERATIONS AND CHALLENGING BUDGET SITUATION THAT THE AUTHORITY FACES**

- 10.1 Members were very keen to examine innovative ways to generate income by using the Collection and were pleased to see the use of an iPad, Flickr, the Council's website, the Public Art Catalogue website and various published literature for displaying and promoting the collection.

- 10.2 Since the introduction of Flickr in April 2011, 36,000 people have viewed the collections. Members acknowledged that only key items are displayed online and in order to provide an online catalogue of every item within the Museum collection, it would, as an estimate, take four to five years with three to four staff. In order to fund a project of this size, external funding would be required. Members emphasised the need to raise awareness about Flickr through publishing its use as widely as possible.
- 10.3 Members questioned whether photographs of artefacts could be printed off from the website at a cost, or literature, postcards, gifts could be ordered online resulting in a means of income generation for the Council. This was currently an area that the service was exploring. Members felt that if this was to be progressed that the delivery should be in-house.
- 10.4 The Museum Service offers a range of souvenirs for sale, for example, postcards and pictures of artefacts. Members were very keen to make better commercial use of the collection whilst ensuring that fees and charges are realistic.

## **11. CONCLUSIONS**

### **11.1 The Museum and Art Gallery Collection Working group concluded:-**

- (a) That if items of the Museum collection are considered for sale or disposal, then strict guidelines need to be followed in order to maintain the Accredited Museum Status and it was recognised that sales should only be for the benefit of the collection itself and disposal should always be carried out in an ethical way;
- (b) That the items of historic and / or social economic value from the Civic Collection form part of the Museum collection and ethical disposal of non-collecting items is arranged;
- (c) That the owners of the items which are held in storage are contacted and asked to claim their items. If not claimed, then the Council take ownership of them and the items of historical and / or social economic value are added into the Museum collection and ethical disposal of non-collecting items is arranged;
- (d) That awareness needs to be raised on how to access the collection, for example, viewing paintings through Flickr, the Public Catalogue Foundation and BBC online in order to maximise the effectiveness of the collection and increase its usage;
- (e) That making better commercial use of the collection is essential in order to increase income generation, for example, the delivery of an in-house online ordering and printing service;

- (f) That it is extremely important to collect all artefacts that are connected with the history of Hartlepool and therefore promoting the opportunity for the public to donate items is essential;
- (g) That expansion and development of the Museum exhibitions for the Museum Service's 100<sup>th</sup> anniversary is welcomed along with seeking 'designation' for the Maritime Collections; and
- (h) That a review of the Collections, Acquisitions and Disposals Policy is important and that Members of the Working Group are involved in this review.

## 12. RECOMMENDATIONS

12.1 The Museum and Art Gallery Collection Working Group has taken evidence from a range of sources to assist in the formulation of a balanced range of recommendations. The Forum's key recommendations to the Cabinet are as outlined below:-

- (a) That Members of the Museum and Art Gallery Working Group are involved in the review and development of the Collections, Acquisitions and Disposals Policy in the 2012/13 Municipal Year, and that this includes a progress update:-
  - (i) on the expansion and development of the Museum exhibitions; and
  - (ii) on seeking 'designation' for the Council's Maritime Collections.
- (b) That the Council promotes the opportunity for the public to donate items to the Collection through a regular article in the Council's magazine, Hartbeat, specifying examples of the types of artefacts required and sample photographs
- (c) That the Council explores how the collection can:-
  - (i) be promoted to further enhance its usage; and
  - (ii) be utilised to increase income generation opportunities

## ACKNOWLEDGEMENTS

The Working Group is grateful to all those who have presented evidence during the course of our investigation. We would like to place on record our appreciation, in particular of the willingness and co-operation we have received from the below named:-

Hartlepool Borough Council:

John Mennear – Assistant Director of Child and Adult Services

Mark Simmons – Museums and Gallery Manager

David Worthington – Head of Culture and Information

Kate Downey – Collections Access Assistant

Jean-Philippe Stienne – Collections Access Officer

**COUNCILLOR MARJORIE JAMES  
CHAIR OF THE MUSEUM AND ART GALLERY COLLECTION WORKING GROUP**

**April 2012**

Contact Officer: Laura Stones – Scrutiny Support Officer  
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**BACKGROUND PAPERS**

The following background papers were consulted or referred to in the preparation of this report:-

- (i) Report of the Scrutiny Manager entitled 'Scrutiny Investigation into the Borough Council Museum and Art Gallery Collection – Scoping Report' presented to the Scrutiny Co-ordinating Committee of 2 September 2011
- (ii) Presentation of the Assistant Director of Community Services entitled 'Museum and Art Gallery Assets Review' delivered to the Museum and Art Gallery Collection Working group of 23 September 2011
- (iii) Presentation of the Assistant Director of Community Services entitled 'The Potential Options for the Future of the Collection' delivered to the Museum and Art Gallery Collection Working group of 17 October 2011
- (iv) Report of the Assistant Director of Community Services entitled 'Collection Valuations' delivered to the Museum and Art Gallery Collection Working group of 16 March 2012

## SCRUTINY CO-ORDINATING COMMITTEE

13 April 2012



**Report of:** Scrutiny Manager

**Subject:** DRAFT OVERVIEW AND SCRUTINY ANNUAL  
REPORT 2011/12

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### 1. PURPOSE OF REPORT

- 1.1 To provide the Scrutiny Co-ordinating Committee (SCC) the opportunity to consider the Draft Overview and Scrutiny Annual Report for 2011/12.

### 2. BACKGROUND INFORMATION

- 2.1 As outlined in the Authority's Constitution, it is a requirement of the Overview and Scrutiny Function to produce an Annual Report, detailing the work of the Scrutiny Co-ordinating Committee and the five standing Scrutiny Forums that has been undertaken during the last 12 months together with suggested developments etc for the forthcoming year.
- 2.2 Given the extremely tight timescales for the production of the Draft Annual Report for 2011/12, together with allowing the Chair of the Scrutiny Co-ordinating Committee and the Chairs of the five standing Scrutiny Forums the opportunity to comment on the relevant pages that relate to the work of their Committee/Forum, a copy of the Draft Annual Report will be circulated under separate cover prior to this meeting.
- 2.3 Following the views of this Committee in relation to its content, the Annual Report will be presented to the first meeting of Council in the new Municipal Year and will also be despatched to key stakeholders and public buildings for information.

### 3. RECOMMENDATIONS

- 3.1 It is recommended that the Scrutiny Coordinating Committee:-
- (a) Notes the content of this report;
  - (b) Considers the content of the Draft Overview and Scrutiny Annual Report for 2011/12, to be circulated under separate cover prior to this meeting; and
  - (c) Notes that the Overview and Scrutiny Annual Report for 2011/12 will be presented to the first meeting of Council in the Municipal Year and despatched to key stakeholders and public places for information.

**Contact Officer:-** Joan Stevens – Scrutiny Manager  
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Hartlepool Borough Council  
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## **BACKGROUND PAPERS**

No background papers were used in the preparation of this report.



# Overview & Scrutiny Annual Report 2011/12





### FOREWORD

Councillor Marjorie James Chair of the Scrutiny Co-ordinating Committee	3
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### PART ONE

Introduction to Hartlepool's Overview & Scrutiny Function	4
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### PART TWO

Overview & Scrutiny Outcomes for 2011/12:-	
Scrutiny Co-ordinating Committee	6
Adult and Community Services Scrutiny Forum	7
Children's Services Scrutiny Forum	8
Health Scrutiny Forum	9
Neighbourhood Services Scrutiny Forum	10
Regeneration and Planning Services Scrutiny Forum	11

### PART THREE

Contacting the Scrutiny Support Team and suggest a topic worthy of a Scrutiny investigation	12
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Overview and Scrutiny in Hartlepool has over the last seven years played an

instrumental role in the delivery and development of services in Hartlepool. This Annual Report outlines how the Council's Overview and Scrutiny Function continues to develop and highlights the key areas of work undertaken by each of the Scrutiny Forums over the last 12 months.

The Council has in 2011/12 continued to face significant budgetary challenges which have required some very difficult decisions to be taken in terms of the provision of services in Hartlepool. Overview and Scrutiny has played an integral part in the process influencing these decisions and the development of the Council's medium term financial strategy.

Scrutiny has also completed some extremely good investigations, which have positively influenced the development and delivery of services in the Town. In doing this we have

welcomed contributions from local residents and partner organisations and I would like to thank every one who has played a part this year, including the Mayor, Cabinet colleagues and officers.

Since 2005/06 we have monitored the delivery of scrutiny recommendations and I am pleased to report that 94% of all Scrutiny Forum recommendations have been accepted and agreed by the Executive, with only 6% either rejected or no longer deliverable due to circumstances beyond the Authority's control.

For the future, we are committed to playing an ongoing role in meeting the continuing financial challenges facing the Council and development of services and operational practices to meet the requirements of new legislation, such as the Localism Act, Police and Social Reform Act and the Health and Social Care Bill.

I hope that you enjoy reading about our activities and achievements during the last 12 months and that you will support us in our continued efforts to improve services in Hartlepool in 2012/13.

**Councillor Marjorie James, Chair of Scrutiny Co-ordinating Committee**

The Overview and Scrutiny function was introduced by the Local Government Act 2000 which outlined new political management arrangements for all Local Authorities.

Developing this function has been a challenging task facing all Local Authorities, however, Overview and Scrutiny has continued to evolve and significantly added value to the work of Local Authorities.

Overview and Scrutiny seeks to reflect the voice and concerns of the public and its communities and to make an impact on the delivery of public services.

Overview and Scrutiny has the following functions:-

- ◆ Policy development and review;
- ◆ Holding the Executive to account;
- ◆ Investigating issues of local concern; and
- ◆ External Scrutiny (Health).

Overview and Scrutiny is objective and constructive, aiming to add value to any area it considers, based on an evidenced process of exploration and deliberation which leads to Scrutiny Forums constructing reports and

putting forward recommendations to the Authority's Cabinet and Council on policies, budget and service delivery.

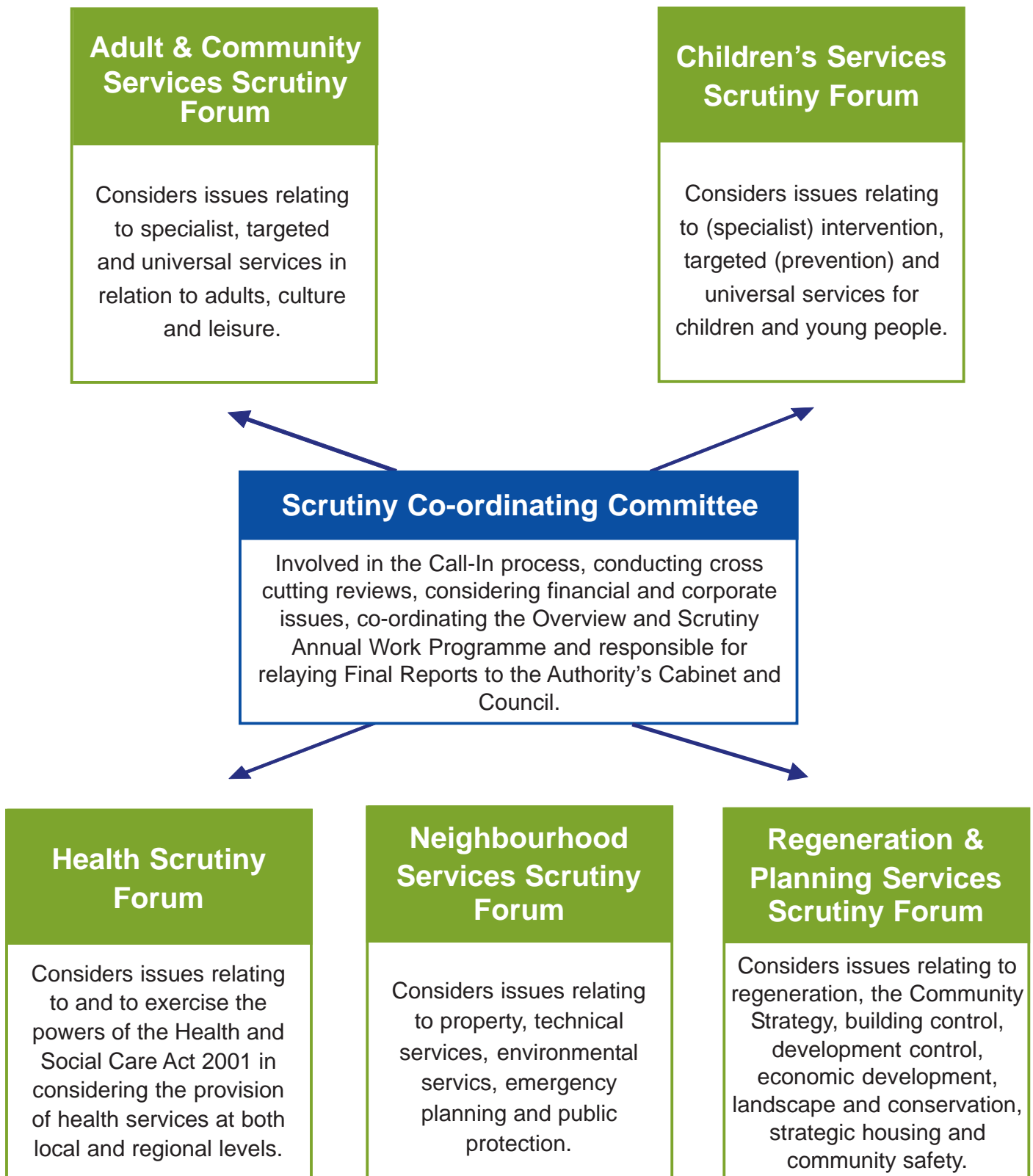
Overview and Scrutiny in Hartlepool operates in a non party political way and consists of five Scrutiny Forums, each with specific remits linked to the strategic priorities of the Council and Local partners.

Our Scrutiny investigations cover a wide range of topics and complex issues, ranging from specific local problems to broader issues of public concern which link to the strategic priorities of the Council and local partners.

The Scrutiny Co-ordinating Committee and the five standing Scrutiny Forums call upon Council Officers, Cabinet Members, expert witnesses, service users and best practice from other Local Authorities to answer questions and provide evidence about the issues being scrutinised.

Each forum collates evidence to help them make recommendations to the cabinet or full council, and the length of a scrutiny investigation will differ depending upon the issue being scrutinised.

## Overview &amp; Scrutiny in Hartlepool





The Scrutiny Co-ordinating Committee has a wide ranging remit that includes consideration of financial / corporate issues and the co-ordination of the

work of the five standing Scrutiny Forums. In fulfilling its role, the Committee has had an extremely demanding year, with a primary focus on the development of the Council's 2012/13 budget and the medium term financial strategy, holding the Executive



to account though the call-in of decisions and consideration of referrals. Issues considered by the Committee have included proposals for the provision of ICT, revenues and benefits services, the delivery of support to Members and the closure of day-care facilities. The Committee has also explored the potential for the identification of savings through the

Council's museum and art gallery collections, and in doing so has reinforced the importance of the retention / development of the collection on a social / cultural basis. In terms of previous scrutiny recommendations, I am pleased to report that funding for the introduction of a Council assisted scheme for the provision of household white goods/ furniture has been approved.

2012/13 promises to be an equally challenging year in continuing to provide / improve resident focused services at such a financially difficult time, but also in developing the Overview and Scrutiny function to respond to the requirements of new legislation. I am, however, confident that scrutiny Members will rise to the challenge, ensuring that the voices of Hartlepool people are heard.

As in previous years, Elected Members, officers, residents and representatives from the Community / Voluntary Sector have played an intrinsic part in the work of the Committee. As such, I want to say a huge 'thank you' to everyone who has been involved in the Scrutiny process this year - without their input we could not have achieved our aims.

**Councillor Marjorie James, Chair of Scrutiny Co-ordinating Committee**





This year the Forum selected one main topic for investigation which was the delivery of early intervention and re-ablement services. These services are vitally important to

support people to live independently and help people to build their confidence and involve themselves in their local community, particularly after a period of illness or a hospital stay. The services that are available include meal preparation, personal care, telecare and gardening.

The evidence received provided Members with a clear understanding of how services are delivered and how they contribute to maintaining people's independence. Members were very pleased to discuss the future plans for the delivery of early intervention and re-ablement services, with a range of NHS organisations, including the changes that will be implemented once Clinical Commissioning Groups come into force in March 2013. Members also received evidence from the Professor of Social Policy at York University in relation to a study that the University had undertaken on the impact of re-ablement services. It was evident from the study that re-ablement services do improve people's quality of life.

It was clear from the investigation that early intervention and re-ablement services are essential to reduce pressure on services, particularly given that Hartlepool has a much older population than most towns. Partnership working, information sharing between services and communication are all key elements to the successful delivery of early intervention and re-ablement services. The need to provide these services in



a co-ordinated manner is of the utmost importance, which is why the Forum has recommended that a co-ordinated approach is implemented across all services.

As Chair of the Forum, I am pleased to say that this year has been a very rewarding year, with recommendations that will make a positive difference to people's lives.

**Councillor Jane Shaw, Chair of Adult and Community Services Scrutiny Forum**



I was very pleased to be appointed as Chair of the Children's Services Scrutiny Forum, during the 2011 / 12 Municipal Year. The Forum chose a topic of investigation close to

everyone's hearts, which was the support and services available to children and young people looked after by the Council. As Elected Members, we have a responsibility to our looked after children and young people to ensure that they receive the best care and support, and are offered the same opportunities as other children and young people.

Members felt that the best way to gather evidence was to talk to looked after children and young people and I am very grateful to all those who participated. The children and young people spoke passionately about keeping siblings together when coming into care, which is one of the Forum's recommendations to Cabinet.

As part of the investigation, Members were keen to explore the different types of residential provision available and visited a range of children's homes. Members concluded that there is a lack of residential provision in Hartlepool and recommended that the Council explore the viability of running at least one

children's home in Hartlepool to enable our looked after children and young people to remain within their home town.

After a very successful investigation into Social Media last year, the young people's representatives on the Forum decided this year, to explore ways of making transport more accessible for young people. The young people

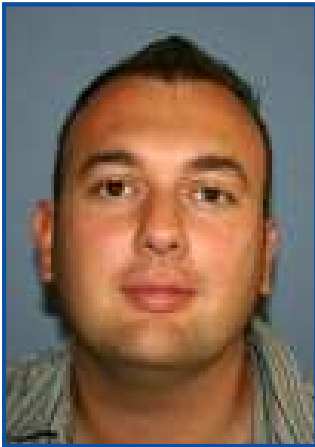
gathered views from youth groups across the town on current bus times, routes and costs. After a very detailed investigation, the young people recommended that options of providing



transport be explored through the Transport Champions Group; local transport companies; and organisations across the town who work with young people.

We have achieved positive outcomes this year and would like to thank all those who have contributed.

**Councillor Christopher Akers-Belcher,  
Chair of Children's Services Scrutiny  
Forum**



The 2011/12 Municipal Year has brought challenges, but as Chair of the Health Scrutiny Forum I know that there is still hard work to come. The Health and Social Care

Bill, at time of writing, has yet to be enacted, although changes to the way in which health services will be commissioned through Health and Wellbeing Boards and the movement of Public Health into Local Authorities continues.

Changes to emergency care provision in Hartlepool was one of the major issues of this year and whilst we might not agree with the changes, it has happened and we must move forward in ensuring that we continue to strive for the best health services for Hartlepool. However, we cannot only focus on health services making us better; we have a responsibility to take care of our own health, which is one of our conclusions from the Forum's investigation into Cancer Awareness and Early Diagnosis.

Many will know someone who has had Cancer, through its investigation Members have recognised that early diagnosis can

be a life saver and that we all need to be aware of the symptoms of cancer, so that we can seek medical advice as soon as possible. This also applies for breast, cervical and bowel screening where take-up in Hartlepool could be so much better. Members were very clear that stop smoking services must continue to be a major focus of Public Health. 90% of all cases of lung cancer are caused by smoking and we unanimously agreed as a Forum to support Fresh in their clear packing campaign.

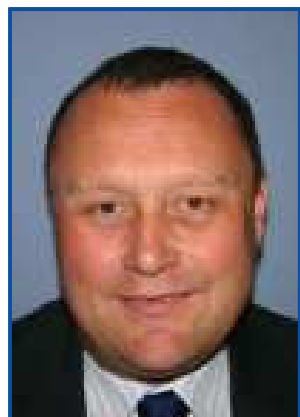


Ending on a positive note, the improvements in women's life expectancy in Hartlepool is extremely welcomed and in celebrating that achievement, I know we will continue to work tirelessly to improve the health of the Town as a whole.

**Councillor Stephen Akers-Belcher,  
Chair of Health Scrutiny Forum**



## Neighbourhood Services Scrutiny Forum



The Neighbourhood Services Scrutiny Forum selected the topic of Private Sector Housing Schemes to investigate during the 2011/12 Municipal Year, a topic we as elected Members are

very passionate about. The Forum felt that given the importance of the subject, which includes the Landlord Accreditation, Selective Licensing, Empty Homes and Good Tenant Schemes, this would be the sole topic for investigation during the year.

During the investigation, Members were delighted to welcome representatives from Middlesbrough and Durham Councils, Housing Hartlepool, Durham Tees Valley Probation Service and the Landlord Steering Group to provide evidence, which the Forum considered very informative and assisted us in drawing together our conclusions and recommendations for the final report.



To ensure that tenants, landlords and local residents were consulted during the investigation and their views given appropriate consideration, Members held two focus groups in community settings and devised questionnaires which were also made available on the Councils website. Members found the mix of views from those who attended the meetings and completed the questionnaires very interesting.

The Forum was particularly concerned to hear of the link between poor quality housing and ill health and, following the consideration of early intervention schemes put in place by other Local Authorities, where Councils acts to remedy hazards and poor quality housing in conjunction with the local PCT, we are very hopeful that a scheme of similar quality can be delivered in Hartlepool through joint working.

I believe that this years investigation has been positive and rewarding for all involved and the Forum are delighted to recommend the exploration of the introduction of a 'Healthy Homes' scheme in Hartlepool to Cabinet. I look forward to another successful year in 2012/13.

**Councillor Stephen Thomas, Chair of Neighbourhood Services Scrutiny Forum**



After a years gap I was delighted to take up the position of Chair of the Regeneration and Planning Services Scrutiny Forum

once again. For the 2011/12 Municipal Year the Forum chose to investigate 'Employment and Training Opportunities for 19-25 Year Olds' a topic of great importance to the residents of Hartlepool.

As part of the investigation, the Forum decided to take an innovative approach to examining service delivery, by tasking a focus group to perform a Social Return on Investment (SROI) analysis of Connexions Services provided to 19-25 year olds. This review aimed to determine the value the service provided based on all outcomes, including those most difficult to measure such as increased confidence, alongside the traditional outcomes such as finding employment or training. Members were delighted with the results and felt that the process gave a unique insight into the delivery of the service and the value placed on it by users.

As part of the Forums investigation in to Employment and Training Services, Members welcomed Redcar and Cleveland Council, Jobcentre Plus, Avanta, Hartlepool College of Further Education and representatives of local employers, services providers and the voluntary and community sector.

Members were interested to hear of the programmes being introduced as part of the Governments drive to get people off benefits and back into work. Due to the lack of opportunities for 19-25 year olds in Hartlepool, the Forum were clear



that providers of the 'work programme' needed to ensure that their offer was based on local need and that the new 'youth contract' and the benefits of training apprentices was promoted as widely as possible with local employers.

The Regeneration and Planning Services Scrutiny Forum have considered some difficult issues during the year and look forward to continuing the positive scrutiny achieved in the future.

**Councillor Trevor Rogan, Chair of Regeneration and Planning Services Scrutiny Forum**

### PART THREE

#### Contacting the Scrutiny Support Team and suggest a topic worthy of a scrutiny investigation

This Annual Report has outlined what the Overview and Scrutiny Committees in Hartlepool have done in the last 12 months, perhaps you can influence what the Forums do in the future by suggesting a topic which would be worthy of Scrutiny investigation.

Please bear in mind that Scrutiny is not a complaints system, but can undertake in-depth reviews making recommendations to the Authority's decision making bodies.

If you live in Hartlepool you can play a part in improving the Borough by suggesting a suitable topic for investigation, which would be considered in relation to specific review criteria. If you have any suggestions please visit our website at [http://www.hartlepool.gov.uk/forms/form/178/scrutiny\\_topic\\_suggestion\\_form](http://www.hartlepool.gov.uk/forms/form/178/scrutiny_topic_suggestion_form) and fill in the online form.

Alternatively, post suggestions to the address below.

The Scrutiny Support Team provides independent innovative and professional support and advice to the Authority's Overview and Scrutiny Committees in ensuring that Overview and Scrutiny is outcome focused and adds value to the work of the Authority and further afield.

You can contact the Scrutiny Support Team with general queries by:-

Email: [scrutiny@hartlepool.gov.uk](mailto:scrutiny@hartlepool.gov.uk)

Post: Scrutiny Support Team  
Chief Executive's Department  
Hartlepool Borough Council  
Civic Centre  
Victoria Road  
Hartlepool  
TS24 8AY

Tel: 01429 284142

**Joan Stevens – Scrutiny Manager**

Responsible for the management and development of the Overview and Scrutiny Function and for the work of the Scrutiny Co-ordinating Committee

**Laura Stones – Scrutiny Support Officer**

Responsible for the Adult and Community Services Scrutiny Forum and the Children's Services Scrutiny Forum

**James Walsh – Scrutiny Support Officer**

Responsible for the Health Scrutiny Forum

**Elaine Hind – Scrutiny Support Officer**

Responsible for the Regeneration and Planning Services Scrutiny Forum and the Neighbourhood Services Scrutiny Forum

## SCRUTINY COORDINATING COMMITTEE

13<sup>TH</sup> April 2012



**Report of:** Director of Regeneration and  
Neighbourhoods/Chief Finance Officer

**Subject:** CAPITAL RECEIPTS PROGRAMME

---

### 1. PURPOSE OF REPORT

- 1.1 To advise Scrutiny Co-ordinating Committee of the progress to date in relation to the achievement of Capital Receipts, and advise on the programme and proposals to achieve the overall target of £4.5 million by 2015.

### 2. BACKGROUND

- 2.1 Capital receipts from the sale of surplus land and property, is included in the medium term financial strategy (MTFS) as part of the funding strategy for “one off strategic financial issues” which includes match funding required for completion of the Housing Market Renewal Programme.
- 2.2 An overall Capital Receipts target of £4.5 million has been set for the three years commencing 2011/12. The MTFS highlighted the importance of achieving these capital receipts to fund the forecast shortfall in funding for one off strategic financial issues.
- 2.3 The MTFS also highlighted the risks of achieving these capital receipts and the impact if capital receipts are less than forecast and prudential borrowing needs to be used to bridge any shortfall. Use of Prudential borrowing would result in an unbudgeted revenue pressure.

### 3. CONSIDERATIONS

- 3.1 A substantial amount of work has been undertaken to identify surplus land and property within the Council's Portfolio as a result of active property review and business transformation work programmes. As a result, a full schedule of key surplus assets and projected disposal dates/anticipated values, are set out in **Appendix 1**.

- 3.2 During 2011/12 although the property market has been difficult, sales have been completed on a number of assets which include -
- a) 65 Jutland Road
  - b) Municipal Buildings
  - c) Jesmond Road Primary School
  - d) Easy Skips site
- 3.3 In total to date £824,000 of gross receipts have been achieved. Although the market continues to fluctuate in response to turbulent economic conditions the values received to-date have generally accorded with the Estates and Asset Manager's valuations. Future projections of value are difficult to predict and have been calculated based on current market conditions.
- 3.4 An ambitious programme of additional sales (as set out in **Appendix 1**) for the period of 2012/15 should ensure that the target of £4.5 million will be achieved provided that the majority of disposals identified are achieved. Sales have already been agreed on 85 Station Lane, Brooklyn and Somersby Close and these are due for completion in the 2012/13 financial year.
- 3.5 As indicated in the MTFS achievement of the overall capital receipts target and phasing of receipts is important to ensure resources are available to meet forecast expenditure commitments when they arise. If capital receipts are not achieved any shortfall in funding will need to be funded from prudential borrowing, either on a temporary or permanent basis, which would result in an unbudgeted revenue pressure
- 3.6 Achievement of capital receipts of up to £824,000 in 2011/12 provides a sound basis for achieving the overall capital receipts target of £4.5 million very much depends on market conditions. Flexibility is required but in order to ensure that values are maximised, and that appropriate sites are brought to market at the optimum time. As such, it may be that the programme is adjusted within the overall target time frame to ensure achievement by 2014/15.
- 3.7 Officers will continue to monitor the position carefully. Owing to the strategic financial importance of achieving the £4.5m capital receipts target progress in achieving the target will be included in the normal quarterly financial management reports submitted to Cabinet and referred to Scrutiny Co-ordinating Committee during the year. An annual review will also be completed as part of the process for preparing future year's budget. These arrangements will ensure any corrective action can be taken at an early stage to protect the Council's overall financial position.

**4. RECOMMENDATIONS**

- 4.1 Scrutiny Co-ordinating Committee are recommended to note the report.

**5. BACKGROUND PAPERS**

There are no background papers to this report.

**6. CONTACT OFFICERS**

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Chris Little  
Chief Financial Officer  
Chief Executive's Department  
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E-mail: [chris.little@hartlepool.gov.uk](mailto:chris.little@hartlepool.gov.uk)

**APPENDIX 1****SCHEDULE OF PROPERTY LAND SALES 2011/12 – 2014/15****CAPITAL RECEIPTS 2011/12 FORECAST OUTTURN**

65 Jutland Road  
 Municipal Buildings  
 Jesmond Road Primary School  
 Easy Skips Site

Land at 39 Wynyard Road  
 Land at Bedford Street  
 Land at Ladysmith Street  
 Land at Villiers Street

Total Anticipated for 2011/12  
 (Nett)

£824k

**CAPITAL RECEIPTS FORECAST OUTTURN 2012-2015**

Brooklyn Day Centre  
 Somersby Family Resource Centre  
 Land at Former Throston Grange Home (Monmouth Grove)  
 Briarfields Paddock/Ambulance Site  
 Tanfield/Site  
 Foggy Furze/Staby House  
 Morrison Hall – Headland  
 Ward Jackson Park Lodge  
 Former Henry Smith's School site  
 Other Misc. Receipts from small areas of land/property  
 Steetley Site  
 Throston Community Centre

Total anticipated post 11/12 up to 14/15

£3.676m

**Total Anticipated 2011 – 2015**

**£4.5m**



## SCRUTINY COORDINATING COMMITTEE

13 APRIL 2012



**Report of:** Assistant Director (Neighbourhood Services)

**Subject:** WARD MEMBER BUDGETS

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### 1. PURPOSE OF REPORT

- 1.1 To present to the Council Working Group considerations regarding the implementation of Ward Member budgets

### 2. BACKGROUND

- 2.1 Previously the Council allocated a minor works budget to the Neighbourhood Consultative Forums (NCSFs). In 2011/12 this was made up from £25,000 capital, with an additional allocation of £18,000 from the highways Budget (£8,000 from the Local Transport Plan (LTP), and £10,000 from the Highways Maintenance budget).
- 2.2 Further to this an additional £15,000 was allocated to the Forums to address the common issue of the conversion of grass verges to hard standing, again funded by the LTP.
- 2.3 The framework when considering proposed schemes was as follows:
- a) Outline schemes were proposed by Member, Resident Representatives, Residents and Officers;
  - b) The Chair and Vice Chair of the NCFs assessed the proposal, and where appropriate instructed Officer to cost the works and report to the Forum;
  - c) Reports to the Forum included estimated costs, alternative options where appropriate, residents views' and other related information;
  - d) Minor works schemes were likely to include any works of improvement to an area which would benefit the community or a number of individual residents and enhance the quality of life in the neighbourhood. Individual repairs and improvements would not normally be funded from this budget but would be referred to a department to consider.



- 2.4 As part of the Council's efficiency programme it has been agreed that the minor works budget in its current format will not continue.

### 3. WARD MEMBER BUDGETS

- 3.1 At the Council meetings of 9<sup>th</sup> and 23<sup>rd</sup> February it was proposed and agreed that a ward fund of £181,500 be allocated equally to all Elected Members to directly address specific resident and ward issues. This fund will be created by allocating the under spends from both the Acting Chief Executive arrangements (£76,848) and the Joint Head of HR role (21,402) plus £83,250 from the 2011/12 favourable General Fund outturn for this municipal year.
- 3.2 At the Council working Group, 20<sup>th</sup> February 2012, Members suggested that the operation and governance of individual Ward Member budgets should mirror the principle used for the current minor works budgets as this had proved very successful in the past. With suggestions that Members would be able to 'pool' budgets with other Ward Members or Members from other wards should they consider it an appropriate use of resources and criteria to govern these arrangements should be developed.
- 3.3 It is assumed that ward member budgets will not be available to be expended on individuals, but are meant to be used for the wider and discernable community benefits for the Ward. Members will be expected to consult with each other to ensure that there is no duplication of expenditure.
- 3.4 It is assumed that the intention is not for Ward Member budgets to be expended on services which are already provided by the Council, unless it is for the purpose of enhancing upon the level of service currently provided. Similarly the funds are not intended to be used to provide services which are provided by other public agencies unless the purpose is to supplement to what is already being provided.
- 3.5 Members should also have regard to the new Ward Profiles priorities which will be introduced from May 2012.
- 3.6 It is recognised that Ward Member budgets would need to be subject to various procedural arrangements to ensure accountability and transparency of decision-making. There would need to be a system of reporting back on the use of Ward Member budgets for audit purposes and the scheme would need to be accompanied by guidance to Members on the exercise of these devolved powers (**Appendix 1**).
- 3.7 It is assumed that the intention is any procedural and reporting arrangements would adopt a light touch and the parameters for the exercise of these spending powers should be as wide as possible.

The administration of the scheme should aim to strike an appropriate balance between ensuring good governance on the one hand, and being easy and flexible for Ward Members to operate on the other.

#### **4. LEGAL IMPLICATIONS - VIRES (POWERS) ISSUES**

- 4.1 Prior to the Local Government Act 2000, it was a fundamental principle that Local Authorities could only act collectively, so an individual Councillor could not take a decision on his/her own. Thus under the Local Government Act 1972, the Council's functions could only be exercised by full Council, a committee or a sub-committee, or by an officer, but not by an individual member. The introduction of 'executive arrangements' in the Local Government Act 2000 enabled decision-making powers to be delegated by the Executive to a committee of the executive, individual Portfolio Holders, or through an officer. Neither full Council nor the Council's Cabinet can delegate decision-making powers to Ward Members.
- 4.2 Therefore, any scheme of devolved budgets to Ward Members should be compliant with the law and not be exercised in conflict with the Council's proper and effective governance. This means that, in practice, Ward Member budgets would need to be delegated to an officer who would be required to consult with the Ward Member in order to determine the local priorities for that Ward.
- 4.3 Ward Member budgets must be used for purposes which fall within the existing 'well-being powers' contained in the Local Government Act 2000 and cognisance to the 'general power of competence' under the Localism Act, 2011, which will eventually replace the 'well being' provisions. This means that they must be applied for purposes which are for the promotion or improvement of the economic, social and environmental well-being of the Ward, or any part of it, or all or some of its residents, or persons who visit or work in the Ward. These powers must also be exercised by having regard to the Council's new Ward profiles which are to be introduced from May 2012.
- 4.4 Decisions taken by Ward Members in relation to the expenditure of their local budget will fall outside the stringent rules concerning recording and publication which apply to decisions taken by the Cabinet and Portfolio Holders. This is because the decisions taken by the Ward Members will not constitute 'executive decisions' as they will not involve significant expenditure, nor will they affect more than one Ward. Moreover, such decisions will not be subject to call-in. This means that although the recording of the exercise of the devolved powers will be necessary for audit and good governance purposes, it can be less prescriptive than those for 'executive decisions', **(Appendix 2)**.

## **5. FINANCIAL IMPLICATIONS**

- 5.1 Consideration regarding continued funding in future years will have to be included as part of the Council's Medium Term Financial Strategy as a budget pressure from 2013/14 onwards.

## **6. RISK IMPLICATIONS**

- 6.1 Openness and Transparency: There needs to be an audit process and justification for expenditure, and an element of consultation and engagement would be beneficial to ensure monies are properly spent and not used adversely i.e. through party political themes/ ventures.
- 6.2 A year end report to the Neighbourhood Forums and relevant Portfolio Holder is proposed to consider what funds have been utilised and for what.

## **7. RECOMMENDATIONS**

- 7.1 The views of the Scrutiny Co-ordinating Committee are requested on the content, guidance (**Appendix 1**) and recording of delegated authority and guidance is attached as **Appendix 2**.

## **8. CONTACT OFFICER**

Denise Ogden  
Assistant Director (Neighbourhood Services)  
Regeneration and Neighbourhoods  
Civic Centre - Level 3  
Hartlepool TS24 8AY  
Tel: 01429 523800

## WARD MEMBER BUDGET GUIDANCE (MARCH 2012)

Support and advice with identifying, developing and implementing options is available from the Neighbourhood Managers.

### **What can Members fund through the scheme?**

Ward budgets provide Ward Members with a dedicated and flexible resource to address local issues and priorities. Members have full discretion in deciding their own local priorities, however the Ward profiles should be considered to ensure there is no duplication of expenditure or conflicting priorities. The projects, services or facilities, however need to benefit the Ward, be locally derived, meet an identified need and improve social economic or environmental well-being of residents. Projects cannot undermine Council or partners' priorities or service delivery and must be lawful.

### **What is the budget for 2012/13?**

Each Elected Member will receive an allocation of £5,500 for 2012/13; all must be allocated by 14 December 2012 to enable services to be produced with the constraints. At present there is no indication that the programme will continue beyond 31 March 2013 and therefore Members should note that there is no guarantee that there will be administrative support to allocate and manage any unspent funds which might be 'rolled-over' into the next financial year.

### **What consultation methods are available?**

The Neighbourhood Issues Forums will have dedicated sessions for Members to discuss priorities with local residents. If Members wish to conduct any additional consultation it is advised that this should be started as soon as possible, noting the December deadline for in-year spending. Any additional consultation will have to be funded from the individual Member Ward budgets.

### **What is the process for getting approval for a proposal?**

Neighbourhood Managers support the work of Members in developing proposals. They will work with departments and external providers to work up deliverable proposals. The size, complexity and mode of delivery affects how long this will take. The proposal needs to be developed in sufficient detail to allow proper procurement to take place. Details of the proposal will need to be formally agreed by Ward Members for sign-off. Proposals should be ideally agreed by all three ward members, although the agreement of two ward members is sufficient.

Projects will be signed off under delegated authority by the Assistant Director (Neighbourhood Services) after approval from the legal and finance departments. The reports will then be published at the following Neighbourhood Forum and on the Council website on a quarterly basis to ensure transparency and reported annually to the relevant Portfolio Holder.

**RECORD OF USE OF DELEGATED AUTHORITY**  
**BY THE ASSISTANT DIRECTOR (NEIGHBOURHOOD SERVICES)**

**WARD MEMBER BUDGETS – INDIVIDUAL WARD MEMBER BUDGETS**

<b>RELEVANT WARD MEMBER/S:</b>					
<b>RELEVANT AREA COMMITTEE</b>					
<b>RECOMENDATION/S OF WARD MEMBER/S: (example)</b>	Approve £2400.00 funding for Highways Design Team £800 from Cllr X Ward Member Budget £800 from Cllr Y Ward Member Budget £800 from Cllr Z Ward Member Budget				
<b>REASONS FOR RECOMMENDATIONS:</b>	To enable the design team to draw up options for a possible change in road layout at the junction of any other Drive and Nowhere Lane that improves visibility and reduces the risk of accident by moving the car parking spaces adjacent to the junction				
<b>OTHER OPTIONS CONSIDERED:</b>	Highways area Capital Funds				
<b>RELEVANT WARD SUPPORT BUDGET/S:</b>	The £2400.00 for the work will come from the budgets from Cllrs X, Y & Z.				
<b>CONSULTATIONS</b>	The local (names) resident association who raised the issue have undertaken an estate wide door to door consultation.				
<b>OUTCOME OF CONSULTATIONS</b>	The consultation outcome support a change in road layout and residents whose cars are parked on the roadside would welcome being able to park closer to their properties.				
<b>INFORMATION/ ADVICE TAKEN INTO ACCOUNT:</b>	Local (named) Road have been raising for some time local concern regarding the poor visibility for drivers turning right out of Anyother Drive onto Nowhere Lane due to a row of parking spaces that when in use block drivers vision. Car Parking spaces were installed on the roadside when the Tram car park was built opposite. Prior to the car park being built this space has previously been used by residents to park their cars so the road side spaces were installed during this process as a replacement.				
<b>LEGAL AND RESOURCE IMPLICATIONS:</b>	The requested £800 can be met by Cllr X from their £5,500 Ward Member Budget. The requested £800 can be met by Cllr Y from their £5,500 Ward Member Budget. The requested £800 can be met by Cllr Z from their £5,500 Ward Member Budget.				
<b>APPROVED:</b>		<b>NOT APPROVED</b>		<b>IF NOT APPROVED, STATE REASONS</b>	
<b>SIGNED</b>				<b>DATE</b>	
<b>CONTACT OFFICER</b>				<b>Contact No</b>	

*Approved forms should be sent to the Assistant Director (Neighbourhood Services) for publication on the Council's website and distributed by the Neighbourhood Manager in an update report to the following meeting of the Neighbourhood Forums and published on the Council's website. Projects not approved will be collated by the Assistant Director (Neighbourhood Services) for publication and a report on any such issue should be submitted by the Neighbourhood Manager to the following meeting of the NFs for information.*

*The AD (NS) will submit an annual report to the relevant Portfolio Holder recording all Ward Member budget spend.*

## **SCRUTINY CO-ORDINATING COMMITTEE**

**13 April 2012**



**Report of:** Scrutiny Manager

**Subject:** CALL-IN OF DECISION: ADMISSIONS  
ARRANGEMENTS FOR ADMISSIONS TO  
SCHOOLS 2013/14 AND COORDINATED  
ADMISSIONS TO PRIMARY & SECONDARY  
SCHOOLS AND IN YEAR TRANSFERS 2013/14  
AND AN UPDATE ON NEW SCHOOL ADMISSIONS  
CODE 2012

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### **1. PURPOSE OF THE REPORT**

- 1.1 To provide Members of the Scrutiny Co-ordinating Committee with the relevant information relating to the Call-In of the decision taken by the Children's Services Portfolio Holder on the 27 March 2012, in relation to the admissions policy for community and voluntary controlled primary schools in Hartlepool for the school year 2013/14 and the co-ordinated admissions procedures to primary and secondary schools for 2013/14, as per the Authority's Call-In procedure.
- 1.2 To enable the Scrutiny Co-ordinating Committee to:-
- i) Make a decision in relation to the acceptance or rejection of the Call-in; and
  - ii) Consider, subject to the acceptance of the Call-in:
    - The way forward in dealing with the Call-In;
    - The formulation of a response / comments for consideration by the Children's Services Portfolio Holder (via the Proper Officer).

### **2. BACKGROUND INFORMATION**

- 2.1 At the meeting of the Children's Services Portfolio, held on 27 March 2012, a report was considered in relation to the admissions policy for community and voluntary controlled primary schools in Hartlepool for the school year 2013/14 and the co-ordinated admissions procedures to primary and secondary schools for 2013/14. The formal deadline for submission of admission arrangements to the Secretary of State being the 15 April 2012.

- 2.2 A copy of the report considered by the Children's Services Portfolio Holder on the 27 March 2012, and relevant decision record (Minute No. 28 refers), are attached at **Appendices A and B** respectively for Members consideration.
- 2.3 Following the decision of the Children's Services Portfolio Holder, a Call-In Notice was issued by 3 Members of the Scrutiny Co-ordinating Committee on the 5 April 2012. This notice was accepted by the Deputy Monitoring Officer on the 5 April 2012 and a copy is attached at **Appendix C**.

### **3. CALL-IN PROCESS**

- 3.1 The Scrutiny Co-ordinating Committee has the power under Section 21 of the Local Government Act 2000, and Rule 14 of the Council's Scrutiny Procedure Rules, to call-in decisions made by the Executive but not yet implemented.
- 3.2 The Call-In notification outlines the reasons why the signatories were of the opinion that the decision had been taken in contravention of the principles of decision making, as outlined in Article 13 of the Constitution. The reasons identified in the Call-In Notice are as follows;

#### **i) Proportionality and xii) Reasonableness;**

We do not believe it to be proportionate or reasonable to put children with siblings already in a school ahead of the majority of children who live within the schools admissions zone.

### **4. NEXT STEPS**

- 4.1 In the first instance, the Committee must decide whether it agrees with the Members submitting the Call-In Notice that the decision should be Called-In for the reasons set out in the Notice. These reasons should then form the basis for the Committee's consideration of the decision. The Committee will also then need to decide how it wishes to proceed with consideration of the Call-In.
- 4.2 Subject to the acceptance of the Call-In by the Scrutiny Co-ordinating Committee, invitations have been extended to the Children's Services Portfolio Holder, and relevant officers, to attend today's meeting and assist Members in their consideration of the Call-in.
- 4.3 Having fully discussed the reasons outlined within the Call-In Notice there are two ways forward:-
- (i) Should the Committee be satisfied that the principles of decision making have not been contravened, the decision(s) will be effective immediately;  
or

- (ii) Should the Committee remain concerned about the decision(s), comments should be agreed for formal consideration by the Children's Services Portfolio Holder at the earliest opportunity. The next possible Children's Services Portfolio meeting being held on the 24 April 2012. Following receipt of these comments the Children's Services Portfolio Holder would be required to reconsider the decision in light of them and either reaffirm or amend the decision. A response from the Children's Services Portfolio Holder must then be referred to the Committee, setting out the reasons for reaffirming or modifying the decision, in relation to the issues raised by the Committee.

## **5. RECOMMENDATIONS**

- 5.1 That Members of the Scrutiny Co-ordinating Committee decide if they wish to accept or reject the Call-In Notice;
- 5.2 That subject to acceptance of the Call-in:
  - i) Consideration be given to the way forward in dealing with the Call-In;
  - ii) Consideration be given to the whether the decision was taken in accordance with the Principles of Decision Making (as outlined in Article 13 of the Constitution); and
  - iii) Should the Committee be of the view that the decision was not taken in accordance with the Principles of Decision Making, comments be formulated for consideration by the Children's Services Portfolio Holder (via the Proper Officer).

**Contact Officer:-** Joan Stevens– Scrutiny Manager  
Chief Executive's Department - Corporate Strategy  
Hartlepool Borough Council  
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Email: joan.stevens@hartlepool.gov.uk

## **BACKGROUND PAPERS**

The following background paper was used in the preparation of this report:-

- (i) Hartlepool Borough Council's Constitution
- (ii) Reports and Minutes – Children's Services Portfolio of 27 March 2012
- (iii) Call-in Notice – 5 April 2012



## **CHILDREN'S SERVICES PORTFOLIO**

Report to Portfolio Holder  
27 March 2012



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

**Subject:** ADMISSIONS ARRANGEMENTS FOR  
ADMISSIONS TO SCHOOLS 2013/14 AND  
COORDINATED ADMISSIONS TO PRIMARY &  
SECONDARY SCHOOLS AND IN YEAR  
TRANSFERS 2013/14 AND AN UPDATE ON  
NEW SCHOOL ADMISSIONS CODE 2012.

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### SUMMARY

#### **1.0 PURPOSE OF REPORT**

To determine the admission policy for community and voluntary controlled primary schools in Hartlepool for the school year 2013/14 and the co-ordinated admissions procedures to primary and secondary schools for 2013/14 following consultation with governing bodies, other admissions authorities and the general public.

#### **2.0 SUMMARY OF CONTENTS**

A report attached summarising responses to a consultation process on the Admissions Policy, recommending a policy for 2013/14.

#### **3.0 RELEVANCE TO PORTFOLIO MEMBER**

Portfolio Holder is responsible for Children's Services issues.

#### **4.0 TYPE OF DECISION**

Key decision (ii) reference number CAS105/11.

#### **5.0 DECISION MAKING ROUTE**

Children's Services Portfolio holder – 27<sup>th</sup> March 2012

#### **6.0 DECISION(S) REQUIRED**

o determine school admissions policy for 2013/14:

- The proposed oversubscription criteria for community and voluntary controlled primary schools which proposes to promote the sibling criteria above school admission zone criteria set out in paragraph 4.1.1 be approved.
- The revised admission limits attached be agreed.
- The Primary and Secondary and In Year Transfers co-ordinated admissions schemes be approved.
- To note changes to the new school admissions code which came into force on 1<sup>st</sup> February 2012.
- To note the proposal that the Admissions Forum should continue to meet in an advisory form.

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

**Subject:** ADMISSIONS ARRANGEMENTS FOR  
ADMISSIONS TO SCHOOLS 2013/14 AND  
COORDINATED ADMISSIONS TO PRIMARY &  
SECONDARY SCHOOLS AND IN YEAR  
TRANSFERS 2013/14 AND AN UPDATE ON  
NEW SCHOOL ADMISSIONS CODE 2012.

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## 1. PURPOSE OF REPORT

To determine the admissions policy for admissions to schools in 2013/2014 for community and voluntary controlled schools in Hartlepool and the co-ordinated admissions schemes and give an update on the new school admissions code which came into force on 1<sup>st</sup> February 2012.

## 2. BACKGROUND

### General

2.1.1 Section 89 of the School Standards and Framework Act 1998 lays down the way in which an Admissions Authority must determine admission arrangements and requires them to consult with governing bodies and other admission authorities. The statutory code of practice, the School Admissions Code (the Code), has recently been changed and a new code came into force in February 2012 and applies to all maintained schools including foundation schools and academies. Admission Authorities must ensure that their determined admission arrangements comply with the mandatory provisions of the code. This code is made under Section 84 of the Schools Standards and Framework Act 1998 as amended by Section 40 of the Education and Inspections Act 2006. Failure to comply with these requirements would mean that Hartlepool Local Authority will be at risk of failing to meet their statutory duty.

2.1.2 The main changes within the School Admissions Code that came into force on 1<sup>st</sup> February 2012 are as follows:

- The role of the Local Authority role School Admissions is to ensure school places are allocated and offered in an open and fair way. The Local Authority have to report to the school adjudicator and must also refer objections to them, to ensure the process is fair.
- The adjudicator receives a large number of complaints are made in relation to faith schools. The Local Authority need to ensure that all

schools arrangements comply with the code. The Office of the Schools Adjudicator wants to know when these complaints happen.

- The offer code for Primary Schools will become the same across all Boroughs, having a 'national offer day'. Date for places to be offered will be 16<sup>th</sup> April 2013 for 2013-14 admissions.
- The definition of looked after children has been extended to give adopted children / special guardianship orders highest priority for admission. Some provisions in the code are down to local discretion.
- The code will give a greater freedom to schools to be able to increase intake numbers, however, if they are wishing to reduce numbers then will have to go through the formal process.
- Children of staff can be given priority for admission, so long as the member of staff has been employed for two or more years, or the member of staff is recruited to fill a vacant post for which there is a demonstrable skill shortage.
- Exception to infant class size for twins/multiple births.
- There is no exception in the code for siblings in the same year group.
- In year co-ordination has been removed as a requirement from the code.
- Banning of lotteries.
- The requirement to consult has been extended to consult at least once every seven years. Hartlepool review arrangements every year and if there are changes, only then is the need to consult.
- The Office of School Adjudicator will now accept objections from anyone.

2.1.2 In drawing up admission arrangements, admission authorities should aim to ensure that:

- the arrangements enable parents/carers to express a preference as to the school at which he/she wishes education to be provided for his/her child and to give reasons for their preferences;
- admissions criteria are clear, fair and objective, for the benefit of all children, including those with special educational needs, disabilities or in public care;
- local admission arrangements contribute to improving standards for all pupils;
- local admission authorities consult each other and co-ordinate their arrangements, including the rapid re-integration wherever possible of children who have been excluded from other schools;
- parents have easy access to helpful admissions information;
- local admission arrangements achieve full compliance with all relevant legislation and guidance – including on infant class sizes and on equal opportunities – and take full account of the guidance in the Code.

### 3. RESPONSES TO CONSULTATION

- 3.1.1 Attached at **Appendix 5** is a summary of the consultation responses received. This indicated that all schools that responded noted/supported/agreed the proposals set out in the consultation. Six governing bodies were against moving sibling above admission zone.
- 3.1.2 The views expressed were considered by the Admissions Forum on 6<sup>th</sup> February 2012. The forum discussed in detail the implications of moving sibling above admission zone and voted two for, four against with two abstentions. Following the forum meeting the issue was raised with the Primary Headteachers on 13/03/2012 and after much debate, a 'straw poll' of community and voluntary controlled heads was taken with 6 for and 9 against moving sibling above zone. Not every Headteacher from these sectors was present at the meeting. It was noted that the final decision on this matter would rest with the Portfolio holder for Children's Services.
- 3.1.3 Revised admission limits have been discussed with schools on the basis of revised net capacity figures, and these are attached at **Appendix 1**.
- 3.1.4 The co-ordinated schemes for primary and secondary admissions and In Year Transfers agreed by the Admission Forum are attached at **Appendix 2, Appendix 3 and Appendix 4**.

### 4. PROPOSED ADMISSIONS POLICY FOR 2013/14

- 4.1.1 On the basis of the consultation exercise, it is proposed that the admissions policy for entry to community and voluntary controlled primary schools in 2013/14 is as follows:

Parents/carers are invited to express preferences for up to 3 primary schools in priority order and give reasons for their preferences.

- In the first instance, places will be awarded to those pupils with a statement of special educational needs where the school is named in the statement.
- The remaining places will be awarded in the following priority order:
  - 1) those children who are looked after children and previously looked after children (*previously looked after children are children who were looked after, but ceased to be so because they were adopted or became subject to a residence order or special guardianship order*);
  - 2) those children who have older brothers or sisters who will be attending the school in September 2013; (previously number 3)

- 3) those children who live in the school's admission zone; (previously number 2)
- 4) those children who are distinguished from the great majority of other applicants whether on medical grounds or by other exceptional circumstances and who would suffer significant hardship if they were unable to attend the school;
- 5) those children who live closest to the school as determined by the shortest suitable walking distance (*measured by the shortest suitable walking route from the (ordnance survey) address point of the child's home address to the main entrance of the school, using the Local Authority's computerised measuring system*).

4.1.2 No places can be allocated at an oversubscribed school to parents/carers who have not stated their preference in writing for that school.

4.1.3 In considering requests for admission to a particular school, all preferences will be considered on an equal basis.

4.1.4 If an application is unsuccessful, a child's name may be placed on a waiting list. The position on the waiting list is determined in accordance with the published priority criteria. If a place subsequently becomes available, the place will be offered to the next child on the waiting list.

4.1.5 Children born between 1st September 2008 and 31st August 2009 can join the school on a full-time basis in September 2013. Parents/carers can, however, still defer the date of entry to Reception until the beginning of the term after their child's 5<sup>th</sup> birthday. Allocations for places at primary school will be based on a September intake and admission authorities and schools must keep a place available for that child.

In the secondary sector, children born between 1st September 2001 and 31st August 2002 will normally transfer to secondary school in September 2013.

4.1.6 Parents/carers have the right to appeal if their application for a place for their child is turned down. Details of the independent appeals process will be sent to parents/carers whose applications prove unsuccessful and an alternative placement cannot be agreed.

4.1.7 The timetables for secondary and primary admissions for 2013/14 are attached at **Appendix 2 and Appendix 3**.

4.1.8 The LA will accept applications which are received late only where there is evidence of a good reason for the lateness AND only if the application is received before offers of places are made. Where the late application is accepted and offers of places have not been made the application will be treated in the same way as all other applications. In the event of a

late application not being accepted or receipt is after the offer of places has been made, then places will be offered at the nearest school to the child's home, that is not already over-subscribed.

## **5. ADMISSIONS FORUM**

- 5.1 The Admissions Forum no longer has a statutory standing following the new codes. The Admissions Forum can continue as a voluntary arrangement if it is of benefit.

The consensus view from schools and the existing Forum is that it is prudent to retain the Forum and it should be kept, as it is an effective arrangement for receiving updates on codes, general matters of interest, feedback, debate etc, and the members are able to report back to other headteachers as necessary.

## **6. RECOMMENDATIONS**

- The proposed oversubscription criteria for community and voluntary controlled primary schools which proposes to promote the sibling criteria above school admission zone criteria set out in paragraph 4.1.1 be approved.
- The revised admission limits attached be agreed.
- The Primary and Secondary and In Year Transfers co-ordinated admissions schemes be approved.
- To note changes to the new school admissions code which came into force on 1<sup>st</sup> February 2012.
- To note the proposal that the Admissions Forum should continue to meet in an advisory form.

**Contact Officer:**  
**Peter McIntosh, Head of Planning and Development**  
**Tel: 01429 284103**

**Appendix 1****PROPOSED ADMISSION LIMITS 2013/14**

	<b>2013/14</b>
Bamard Grove Primary School	50
Brougham Primary School	45
Clavering Primary School	55
Eldon Grove Primary School	60
Fens Primary School	60
Golden Flatts Primary School	30
Grange Primary School	50
Greatham C of E Primary School	15
Hart Primary School	12
Holy Trinity CE Primary School	30
Jesmond Gardens Primary School	45
Kingsley Primary School	60
Lynnfield Primary School	55
Owton Manor Primary School	30
Rift House Primary School	30
Rossmere Primary School	45
Sacred Heart R.C. Primary School	60
St. Aidan's C.E. Memorial Primary School	*50
St. Bega's R.C. Primary School	20
St. Cuthbert's R.C. Primary School	30
St. Helen's Primary School	45
St. John Vianney R.C. Primary School	30
St. Joseph's R.C. Primary School	24
St Peter's Elwick C of E Primary School	15
St. Teresa's R.C. Primary School	45
Stranton Primary School	50
Throston Primary School	60
Ward Jackson Church of England VA Primary School	25
West Park Primary School	45
West View Primary School	55
St. Hild's CE VA Secondary School	180
Dyke House Sports & Technology College	*210
High Tunstall College of Science	241
Manor College of Technology	250
English Martyrs R.C. School & Sixth Form College	240



\* St Aidan's net capacity is under review. Dyke House Sports & Technology College have asked to reduce their admission number to 190. Each member of the School Admissions Forum was invited to express their comment/opinion of the reduction of the admission number for Dyke House and it was the majority opinion that this should be challenged.

## Appendix 2

### CO-ORDINATED ADMISSION SCHEME SECONDARY SCHOOLS 2013/14

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This scheme is made by Hartlepool Borough Council LA under the 1998 School Standards and Framework Act as amended by the 2002 Education Act.

The proposed scheme for Hartlepool LA is set out below. The proposed dates relating to the admissions process for the school year 2013/14 are attached at **Annex 1 of Appendix 2**.

A separate scheme exists in relation to primary schools and in year admissions.

#### Interpretation

In this scheme -

"The LA" means Hartlepool Borough Council acting in its capacity as local education authority.

"The LA area" means the area in respect of which the LA are the local authority.

"The school" means all community, voluntary controlled, voluntary aided and foundation secondary schools which are maintained by the LA.

"Admission Authority" means the LA in respect of any of the schools which is a community or voluntary controlled school, and the Governing Body of the school in respect of a Voluntary Aided or Foundation School.

"Parent" means the parent or guardian with whom the child normally lives.

"Suitable school" means the nearest available school which offers an efficient full-time programme of education appropriate to the individual child's needs in the view of the Authority.

The Co-ordinated Admission Scheme will apply for the admission arrangements for the school year commencing September 2013.

The LA will include in its admission arrangements for the 2013/14 school year the provisions set out in this scheme.

The Governing Body of each Voluntary Aided and Foundation School will include in its admission arrangements for the 2013/14 school year the provisions set out in this scheme, so far as relevant to that school.

The scheme shall apply to every secondary school in the LA area (except Catcote special school) and shall take effect from September 2013.

1. **Introduction**

- 1.1 In line with the requirements of the 1998 School Standards and Framework Act as amended by the 2002 Education Act, this scheme has been drawn up by Hartlepool LA to co-ordinate admissions to its secondary schools. It applies to all maintained secondary schools in Hartlepool, except special schools, regardless of whether the LA or the governing body is the admissions authority.
- 1.2 The scheme's purpose is to ensure that as far as is reasonably practicable, every parent living in Hartlepool whose child is due to transfer to secondary school and who has applied for a place in the normal admission round, receives an offer of one, and only one, school place on the national offer day of 1<sup>st</sup> March 2013. It also sets out the arrangements for handling late applications.
- 1.3 The scheme will be implemented in accordance with the timetable set out in **Annex 1**.
- 1.4 **Annex 1** lists the secondary schools to which the scheme applies.

2. **Common Application Forms**

- 2.1 There will be two forms known as the Common Application Forms, (these are either on line or paper). They will bear the references CAF/1 and CAF/2. CAF/1 will be used for Year 7 applications within the normal admissions round and CAF/2 will be used for all applications outside the normal admission round.

3. **Applications for Year 7 on form CAF/1**

- 3.1 CAF/1 will be used for the purpose of admitting pupils into the first year intake group, i.e. Year 7, of secondary education in September 2013. It must be used as a means of expressing one or more preferences for the purposes of section 86 of the School Standards and Framework Act 1998, by parents resident in the Hartlepool LA area who wish to express a preference for their child:
- to be admitted to a secondary school within Hartlepool (including voluntary aided and foundation schools);
  - to be admitted to a secondary school located in another LA's area (including voluntary aided, academies and foundation schools).
- 3.2 The CAF/1 will:

- invite parents to express three preferences in rank order of preference including any schools outside the LA's area;
  - allow parents to explain the reasons for their preferences;
  - specify the closing date and where it must be returned;
  - allow parents to provide supplementary information in support of their application. The supplementary information form will be part of CAF/1.
- 3.3 The LA will make appropriate arrangements to ensure that CAF/1 forms are available to all parents with year 6 children who will be transferring to secondary schools in September 2013, in line with the timetable attached at **Annex 1**. An information booklet will be sent to parents advising of the benefits of making an on-line application. If a parent/carer would prefer to complete a CAF/1 form, these will be available from the Primary School Office or the LA.
- 3.4 The admissions authority of a Voluntary Aided/Foundation school can require parents who wish to express a preference for their school, to complete the supplementary information form attached to CAF/1. This information is necessary for the admissions authority to apply its over subscription criteria.
- 3.5 Where CAF/1 forms and any other supplementary information is sent directly to Voluntary Aided/Foundation schools by mistake they must be passed to the LA immediately.

4. **Closing Date for Return of CAF/1 and On-line Applications**

- 4.1 Completed CAF/1 forms must be returned by parents direct to the LA, or submitted on-line, by 23:59 on 31<sup>st</sup> October 2012. Where a preference has been received for a Voluntary Aided/Foundation school, the relevant supplementary information should be provided by the parent at the same time.
- 4.2 In relation to over-subscribed schools, preferences which are received or changed after the closing date but before the allocation date will only be considered in exceptional circumstances, e.g; where a family has recently moved into the area and was therefore unable to submit the form by the closing date. Parents will be asked to provide information in support of their late application and the relevant admissions authorities reserves the right to seek verification of any information provided.
- 4.3 In the event that an application is received after the allocation process, the admission authorities will be unable to accept the application irrespective of exceptional circumstances. Such an application will be considered after all allocations of places where a parent has expressed a preference.

5. **Determining Offers in Response to the CAF/1**

- 5.1 Places will be allocated using the Equal Ranking Scheme, by all admission authorities within Hartlepool.
- 5.2 The LA will act as a clearing house for the allocation of places by the relevant admission authorities in response to the CAF/1. The LA will only make any decision with respect to the offer or refusal of a place in response to any preference expressed on the CAF/1 where:
- an applicant is eligible for a place at more than one school, or
  - an applicant is not eligible for a place at any school for which they have expressed a preference.
- 5.3 Information on the ranking of applicants to Voluntary Aided/Foundation schools must be returned by the relevant admissions authority to the LA in line with the dates specified in Annex 1, either electronically or by post.

**6. Processing Parental Preferences**

- 6.1 By 12<sup>th</sup> November 2012, the LA will notify the admission authority for each of the schools of every preference which has been expressed for that school, including all relevant details and any supplementary information which schools require to apply their over-subscription criteria. Where parents have requested a place at a school outside of the LA area, the information will be forwarded to the relevant LA.
- 6.2 By 14<sup>th</sup> January 2013 – VA/Foundation schools and other LAs, inform LA of allocation of places for all preferences received in the priority order of their admission policy. All applications made need to be listed in order of priority.

The LA compares lists and considers all preferences from the parent and whether these schools can be offered. Liaison will take place between VA/Foundation schools and other LA's until the allocation of places is resolved for each application, as required. The lists will be sent back to the VA schools for their approval before finalising allocations.

- 6.3 Where a child is not eligible for a place at any of the nominated schools, the LA will allocate a place at the nearest school which has places.
- 6.4 By 8<sup>th</sup> February 2013 the LA will match ranked lists for all schools and:
- Where the child is eligible for a place at only one of the nominated schools, that school will be allocated to the child;
  - Where the child is eligible for a place at two or more of the nominated schools, they will be allocated a place at whichever of these is the highest ranked preference.
  - Where a child is not eligible for a place at any of the nominated schools, they will be offered a place at the nearest appropriate school with a vacancy.
- 6.5 By 28<sup>th</sup> February 2013 the LA will publish their appeals timetable on their website.

- 6.6 On 1<sup>st</sup> March 2013, the LA will post letters (second class) to all parents (if parents applied on-line, e-mails will also be sent on 1<sup>st</sup> March 2013) to let them know which school has been allocated to their child. The letter will also tell parents of their statutory right of appeal if they have been refused a place at their preferred school.

Parents will be asked to return their appeal forms to the appropriate admissions authority or the local authority as appropriate.

Parents will also receive details on what to do if they wish their child to be considered for any places that might become available in schools they ranked higher than the school they are offered, in the reallocation process set out below.

- 6.7.1 By 12<sup>th</sup> April 2013, parents should inform the LA if the offer of a place is not accepted.

Where a parent does not confirm acceptance of a place by 12<sup>th</sup> April 2013, the LA will write to warn the parent that if they do not accept the place within 14 days, the offer of a place will be withdrawn.

If the parent fails to reply to the letter from the LA within the 14 days deadline, the parent will be issued with another letter 7 days later. This letter will confirm that the place has been withdrawn and will offer a place at the nearest school to the pupil's home that still has a place available.

## **7. Re-allocation of Places Not Taken Up**

- 7.1 From 26<sup>th</sup> April 2013, the admission authority will re-allocate any places that may have become vacant since the 1<sup>st</sup> March 2013 offer date. Consideration will be given to all applicants including:

- those who have not been offered any school place, for example as a result of late applications;
- those who have been offered a place but not at any of the schools they expressed a preference for and a place has become available at one of their preferred schools; and
- those who have been offered a place at a school which was given as a lower priority on the CAF/1 than the school at which a place has become available.

- 7.2 Places will be re-allocated by applying the admission authority over-subscription criteria. During week commencing 23<sup>rd</sup> April 2013 the LA will liaise with the governing body for Voluntary Aided/Foundation schools regarding further applicants so that they can be ranked using the admission authority's over-subscription criteria.

## **8. Waiting Lists**

- 8.1 After the admission round is concluded the LA will not co-ordinate the waiting lists for places at voluntary aided schools or foundation schools. If parents wish for their child's name to be placed on the waiting list they should contact the school direct. If a parent subsequently wishes to make an application for a school, the parent should contact the LA for an application form. The LA will continue to co-ordinate the allocation of places. Waiting lists must be compiled in accordance with the schools admission criteria and places offered accordingly.

**9. Late Applications Received After 23:59 on 31<sup>st</sup> October 2012**

- 9.1 The closing date for applications is 23:59 on 31<sup>st</sup> October 2012. As far as is reasonably practicable applications for places in the normal admission round that are received late and the LA is satisfied that the reasons for the lateness are exceptional, will be accepted provided that they are received before 8<sup>th</sup> February 2013 (the date the allocations are finalised).
- 9.2 Except in exceptional circumstances, late applications will be considered after all allocation decisions have been made. As far as possible late applications received prior to 1<sup>st</sup> March 2013 will be offered a school place on 1<sup>st</sup> March 2013, but the closer to the 1<sup>st</sup> March 2013 deadline that an application is received, the less likely it will be that an offer will be made on that date.
- 9.3 Where it is not possible to offer a place on 1<sup>st</sup> March 2013, a place will be offered as soon as practicable thereafter.

**10. No CAF/1 Received by 1<sup>st</sup> March 2013**

- 10.1 Where no CAF/1 is submitted, the child will, on 1<sup>st</sup> March 2013, be offered a place at the nearest school to the child's home which has a place following the allocation process outlined above.

## ANNEX 1 (of Appendix 2)

**TIMETABLE FOR SECONDARY CO-ORDINATED ADMISSIONS SCHEME**

from 3 <sup>rd</sup> September 2012	CAF/1 forms and other information to parents
23:59 pm on 31st October 2012	Closing date for return of CAF/1 online applications or paper.
By 9 <sup>th</sup> November 2012	LA to notify other LAs of any preferences which have been expressed for schools in their area.
12 <sup>th</sup> November 2012	LA to send CAF/1 forms to voluntary aided/foundation schools of every preference which has been received for their school, including all relevant details and any supplementary information which schools require to apply their over-subscription criteria.
14 <sup>th</sup> November 2012	All VA/Foundation schools set up admission committees to considered applications.
By 14 <sup>th</sup> January 2013	The admissions authority at each voluntary aided/foundation school/other LA's to equally apply the school's over-subscription criteria (if appropriate) and provide the LA with a list of those applicants which should be offered a place.  Liaison will take place between VA's, foundation schools and other LA's until the allocation of places is resolved for each application, as required.
By 8 <sup>th</sup> February 2013	Finalise allocations and further liaison as necessary.
By 28 <sup>th</sup> February 2013	Publish appeals timetable on the LA's website.
1 <sup>st</sup> March 2013	Letters posted (second class) and e-mails send (if applied on-line) to all parents resident in home LA area, to let them know which school has been allocated to their child.
26 <sup>th</sup> April 2013	Admissions authorities to re-allocate any places that may have become vacant since the 1 <sup>st</sup> March offer date.
End May/June 2013	Appeal hearings arranged.

This scheme relates to the following schools in Hartlepool:

Dyke House Sports and Technology College  
The English Martyrs RC School & Sixth Form College  
High Tunstall College of Science  
Manor College of Technology  
St. Hild's Church of England VA School



## Appendix 3

### CO-ORDINATED ADMISSION SCHEME PRIMARY SCHOOLS 2013/2014

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This scheme is made by Hartlepool Borough Council LA under the 1998 School Standards and Framework Act as amended by the 2002 Education Act.

The proposed scheme for Hartlepool LA is set out below. The proposed dates relating to the admissions process for the school year 2013/14 are attached at Annex 2.

A separate scheme exists in relation to secondary schools and in year admissions.

#### Interpretation

In this scheme -

"The LA" means Hartlepool Borough Council acting in its capacity as local authority.

"The LA area" means the area in respect of which the LA are the local authority.

"The school" means all community, voluntary controlled, and voluntary aided primary schools which are maintained by the LA.

"Admission Authority" means the LA in respect of any of the schools which is a community or voluntary controlled school, and the Governing Body of the school in respect of a Voluntary Aided School or an Academy.

"Parent" means the parent or guardian with whom the child normally lives.

"Suitable school" means the nearest available school which offers an efficient full-time programme of education appropriate to the individual child's needs in the view of the Authority.

The Co-ordinated Admission Scheme will apply for the admission arrangements for the school year commencing September 2013.

The LA will include in its admission arrangements for the 2013/2014 school year the provisions set out in this scheme.

The Governing Body of each Voluntary Aided School and Academy School will include in its admission arrangements for the 2013/14 school year the provisions set out in this scheme, so far as relevant to that school.

The scheme shall apply to every primary school in the LA area (except primary special school) and shall take effect from September, 2013.

## 1. Introduction

- 1.1 In line with the requirements of the 1998 School Standards and Framework Act as amended by the 2002 Education Act, this scheme has been drawn up by Hartlepool LA to co-ordinate admissions to its primary schools. It applies to all maintained primary schools in Hartlepool, except special schools, regardless of whether the LA or the governing body is the admissions authority.
- 1.2 The scheme's purpose is to ensure that as far as is reasonably practicable, every parent living in Hartlepool whose child is due to start primary school and who has applied for a place in the normal admission round, receives an offer of one, and only one, school place on the offer day of 16<sup>th</sup> April 2013. It also sets out the arrangements for handling late applications.
- 1.3 The scheme will be implemented in accordance with the timetable set out in **Annex 2**.
- 1.4 **Annex 3** lists the primary schools to which the scheme applies.

## 2. Common Application Forms

- 2.1 There will be two forms known as the Common Application Forms (these are either on-line or paper). They will bear the references CAF/1 and CAF/2. CAF/1 will be used for Reception Year applications within the normal admissions round and CAF/2 will be used for all applications outside the normal admission round.

## 3. Applications for Reception on form CAF/1

- 3.1 CAF/1 will be used for the purpose of admitting pupils into the first year intake group, i.e. Reception, of primary education in September 2013. It must be used as a means of expressing one or more preferences for the purpose of section 86 of the School Standards and Framework Act 1998, by parents resident in the Hartlepool LA area who wish to express a preference for their child:
- to be admitted to a primary school within Hartlepool (including voluntary aided schools and academies);
  - to be admitted to a primary school located in another LA's area (including voluntary aided, academies and foundation schools).
- 3.2 The CAF/1 will:
- invite parents to express up to three preferences in rank order of preference including any schools outside the LA's area;

- allow parents to explain the reasons for their preferences;
  - specify the closing date and where it must be returned;
  - allow parents to provide supplementary information in support of their application. The supplementary information form will be part of CAF/1.
- 3.3 The LA will make appropriate arrangements to ensure that CAF/1 forms are available to all parents with reception age children who will be attending primary schools in September 2013, in line with the timetable attached at **Annex 2**. An information booklet will be sent to parents advising of the benefits of making an on-line application. If a parent/carers would prefer to complete a CAF1 form, these will be available from the LA.
- 3.4 The admissions authority of a voluntary aided school or an academy can require parents who wish to express a preference for their school, to complete the supplementary information form attached to CAF/1. This information is necessary for the admissions authority to apply its over subscription criteria.
- 3.5 Where CAF/1 forms and any other supplementary information is sent directly to voluntary aided schools by mistake they must be passed to the LA immediately.

#### 4. **Closing Date for Return of CAF/1 and On-line Applications**

- 4.1 Completed CAF/1 forms must be returned by parents direct to the LA, or submitted on-line, by 23:59 on 15<sup>th</sup> January 2013. Where a preference has been received for a voluntary aided school, the relevant supplementary information should be provided at the same time.
- 4.2 In relation to over-subscribed schools, preferences which are received or changed after the closing date but before the allocation date will only be considered in exceptional circumstances, e.g. where a family has recently moved into the area and was therefore unable to submit the form by the closing date. Parents will be asked to provide information in support of their late application and the relevant admissions authorities reserves the right to seek verification of any information provided.
- 4.3 In the event that an application is received after the allocation process, the admission authorities will be unable to accept the application irrespective of exceptional circumstances. Such an application will be considered after all allocations of places where a parent has expressed a preference.

#### 5. **Determining Offers in Response to the CAF/1**

- 5.1 Places will be allocated using the Equal Ranking Scheme, by all admission authorities within Hartlepool.

- 5.2 The LA will act as a clearing house for the allocation of places by the relevant admission authorities in response to the CAF/1. The LA will only make any decision with respect to the offer or refusal of a place in response to any preference expressed on the CAF/1 where:
- an applicant is eligible for a place at more than one school, or
  - an applicant is not eligible for a place at any school for which they have expressed a preference.
- 5.3 Information on the ranking of applicants to voluntary aided schools must be returned by the relevant admissions authority to the LA in line with the dates specified in Annex 2, either electronically or by post.

## **6. Processing Parental Preferences**

- 6.1 By 4<sup>th</sup> February 2013 the LA will notify the admission authority for each of the schools of every application that has been made for that school, including all relevant details and any supplementary information which schools require to apply their over-subscription criteria. Where parents have requested a place at a school outside the LA area, the information will be forwarded to the relevant LA.

- 6.2 By 8th March 2013 – VA schools, academies and other LA's, inform LA of allocation of places for all preferences received in the priority order of their admission policy. All applications made need to be listed in order of priority.

The LA compares lists and considers all preferences from the parent and whether these schools can be offered. Liaison will take place between VA's, academies and other LA's until the allocation of places is resolved for each application, as required. The lists will be sent back to the VA schools and academies for their approval before finalising allocations.

- 6.3 Where a child is not eligible for a place at any of the nominated schools, the LA will allocate a place at the nearest school which has places.

- 6.4 By 29<sup>th</sup> March 2013 the LA will match ranked lists for all schools and:

- Where the child is eligible for a place at only one of the nominated schools, that school will be allocated to the child;
- Where the child is eligible for a place at two or more of the nominated schools, they will be allocated a place at whichever of these is the highest ranked preference.
- Where a child is not eligible for a place at any of the nominated schools, they will be offered a place at the nearest appropriate school with a vacancy.

- 6.5 On the 16<sup>th</sup> April 2013 the LA will post letters (second class) to all parents to let them know which school has been allocated to their child (if parents applied on-line, e-mails will be sent on 16<sup>th</sup> April 2013). The letter will also tell parents of their statutory right of appeal if they have been refused a place at their preferred school.

Parents will be asked to return their appeal forms to the appropriate admissions authority or the local authority as appropriate.

Parents will also receive details on what to do if they wish their child to be considered for any places that might become available in schools they ranked higher than the school they are offered, in the reallocation process set out below.

- 6.6 By 17th May 2013, parents should inform the LA if the offer of a place is not accepted.

Where a parent does not confirm acceptance of a place by 17th May 2013, the LA will write to warn the parent that if they do not accept the place within 14 days, the offer of a place will be withdrawn.

If the parent fails to reply to the letter from the LA within the 14 days deadline, the parent will be issued with another letter 7 days later. This letter will confirm that the place has been withdrawn and will offer a place at the nearest school to the pupil's home that still has a place available.

## **7. Re-allocation of Places Not Taken Up**

- 7.1 From 22nd May 2013 the admission authority will re-allocate any places that may have become vacant since the 16<sup>th</sup> April 2013 offer date. Consideration will be given to all applicants including:

- those who have not been offered any school place, for example as a result of late applications;
- those who have been offered a place but not at any of the schools they expressed a preference for and a place has become available at one of their preferred schools; and
- those who have been offered a place at a school which was given as a lower priority on the CAF/1 than the school at which a place has become available.

- 7.2 Places will be re-allocated by applying the admission authority over-subscription criteria. During week commencing 20th May 2013 the LA will liaise with the governing body for voluntary aided schools regarding outstanding applicants so that they can be ranked using the admission authority's over-subscription criteria.

## **8. Waiting Lists**

- 8.1 After 22nd May 2013 the LA will not co-ordinate the waiting lists for places at voluntary aided schools. If parents wish for their child's name to be placed on the waiting list they should contact the school direct. If a parent subsequently wishes to make an application for a school, the parent should contact the LA for an application form. The LA will continue to co-ordinate the allocation of places.

- 8.2 A waiting list will be kept by the LA for the community schools and voluntary controlled schools within its jurisdiction. The LA will continue to operate a waiting list after the commencement of the academic year in September 2013. All parents will have the choice of including their child's name on this waiting list for any of the community or voluntary controlled schools irrespective of whether that school was included on the form CAF/1.
- 8.3 All waiting lists must be compiled in accordance with the relevant admission authorities admission criteria and places offered accordingly.

9. **Late Applications Received After 23:59 pm on 15<sup>th</sup> January 2013**

- 9.1 The closing date for applications is 23:59 pm on 15<sup>th</sup> January 2013. As far as is reasonably practicable applications for places in the normal admission round that are received late and the LA is satisfied that the reasons for the lateness are exceptional, will be accepted provided that they are received before 29<sup>th</sup> March 2013 (the date the allocation process begins).
- 9.2 Except in exceptional circumstances, late applications will be considered after all allocation decisions have been made. As far as possible late applications received prior to 16<sup>th</sup> April 2013 will be offered a school place on 16<sup>th</sup> April 2013, but the closer to the 19<sup>th</sup> April deadline that an application is received, the less likely it will be that an offer will be made on that date.
- 9.3 Where it is not possible to offer a place on 16<sup>th</sup> April 2013, a place will be offered as soon as practicable thereafter.

10. **No CAF/1 Received by 16<sup>th</sup> April 2013**

- 10.1 Where no CAF/1 is submitted, the child will, on 16<sup>th</sup> April 2013, be offered a place at the nearest school to the child's home which has a place following the allocation process outlined above.

## ANNEX 2 (of Appendix 3)

**TIMETABLE FOR PRIMARY CO-ORDINATED PRIMARY ADMISSIONS  
SCHEME**

w/c 26 <sup>th</sup> November 2012	CAF/1 forms and other information to parents.
23:59 pm on 15 <sup>th</sup> January 2013	Closing date for return of CAF/1 and online applications.
By 4 <sup>th</sup> February 2013	LA to notify other LAs of any preferences which have been expressed for schools in their area.
4 <sup>th</sup> February 2013	LA to send CAF/1 forms to voluntary aided schools of every preference which has been received for their school, including all relevant details and any supplementary information which schools require to apply their over-subscription criteria.
February/Beginning March 2013	All VA schools and academies set up admission committees to considered applications.
By 8 <sup>th</sup> March 2013	<p>The admissions authority at each voluntary aided school/other LA's to equally apply the school's over-subscription criteria (if appropriate) and provide the LA with a list of those applicants which should be offered a place. All applications needs to be ranked.</p> <p>Liaison will take place between VA's, academies and other LA's until the allocation of places is resolved for each application, as required.</p>
29 <sup>th</sup> March 2012	Finalise allocations and further liaison as necessary.
16 <sup>th</sup> April 2013	Letters posted (second class) to all parents resident in home LA area to let them know which school has been allocated to their child.
From 22nd May 2013	Admissions authorities to re-allocate any places that may have become vacant since the 19th April 2013 offer date.
June/Beginning July 2013	Appeal hearings arranged.

**ANNEX 3 (of Appendix 2)**

This scheme relates to the following primary schools in Hartlepool:

Bamard Grove  
Brougham  
Clavering  
Eldon Grove  
Fens  
Golden Flatts  
Grange  
Greatham C of E  
Hart  
Holy Trinity  
Jesmond Gardens  
Kingsley  
Lynnfield  
Owton Manor  
Rift House  
Rossmere  
Sacred Heart RC  
St Aidans CE Memorial  
St Bega's RC  
St Cuthbert's RC  
St Helen's  
St John Vianney RC  
St Joseph's RC  
St Peters Elwick  
St Teresa's RC  
Stranton  
Throston  
Ward Jackson C of E  
West Park  
West View



## Appendix 4

### LOCAL CO-ORDINATED ADMISSION SCHEME ADMISSIONS OUTSIDE OF NORMAL TRANSFER ROUND (In-Year Admissions) 2013/2014

#### Applying for a school place outside of the normal transfer times

Parents with children of statutory school age who move into or within Hartlepool and require a school place outside of the normal transfer times must apply for a school place by completing an in-year application form (CAF2) available from the Local Authority (LA) Admissions Team.

If any parent approaches a school directly, the school must advise parents that they need to apply for a school place through the LA and for safeguarding purposes take details of the pupil(s) forwarding this to the LA. All applications (including children attending out of authority schools, private schools, etc.) will be dealt with by the School Admissions Team.

Applications for school places can only be considered up to 6 weeks prior to the date the place will be required (eg an application for a place at the beginning of May will be considered from mid-March at the earliest). Children **must** be resident within the country before an application can be considered. Service and Crown Personnel are exempt from the above.

#### Application

The application form allows parents to apply for any school (excluding independent schools) and to give reasons for their preferences. If schools receive direct applications for parents, the school **must** forward it to the local authority for co-ordination.

The application form will ask the parents for the following information:

- Details of the child for whom the application is being made (address, date of birth);
- Details about the person completing the application (name, address, relationship to child, contact details);
- Name of the child's current school;
- Express up to three preferences in rank order,
- Reasons for their preferences;
- Indicate if the child has a statement of special educational needs; and
- Indicate if the child is 'looked after' by a local authority.

Parents are required to return the completed paper application form to the School Admissions Team.

#### Applications for Community or Voluntary Controlled Schools

The Local Authority will ensure that all parents' preferences are logged on the CAPITA ONE admissions database within 5 school days of receipt of application.

If there are more applications than places available, the local authority will apply the oversubscription criteria.

If the LA is unable to meet any of the preferences requested by the parents, a place will be allocated at the school nearest to the child's home address that has a place available unless the child already has a school place within close proximity to their home address. In this case, no alternative offer will be made unless requested by the parent.

The LA **must** inform parents in writing of the outcome of their application. Please note that a child **must** be admitted to the school within 20 school days of receipt of the application by the relevant local authority.

### **Applications for Voluntary Aided and Foundation Schools**

The Local Authority will ensure that all parents' preferences are logged on the CAPITA ONE admissions database within 5 school days of receipt of application.

The LA will send details of all applications received, including any supplementary information, to the relevant voluntary aided and foundation schools within 5 school days of receipt if the school is shown as first preference, or when we are unable to offer a higher preference.

Voluntary aided and foundation school's admissions authorities **must** consider all applications without unnecessary delay. The school's admissions authority **must** admit the child if there is a space available (unless exempt under 3.32 of the School Admissions Code). If there are more applications than places available the school's admissions authority are required to apply their oversubscription criteria.

The admission authority should notify the LA its decision.

Parents who are refused admission must be offered a right of appeal. Information about the appeals process must be provided in the refusal letter and the LA will send a copy must be sent to the Voluntary Aided or Foundation School. The LA will then allocate a place at the school nearest to the child's home address that has a place available unless the child already has a school place within close proximity to their home address. In this case, no alternative offer will be made unless requested by the parent.

### **Children with Statements of Special Education Needs**

Children with a current Statement of Special Education Needs must be referred to their local Special Educational Needs (SEN) team. The SEN Team will work with the parents of the child to secure a place at a school where the specific needs of the child can be met. Where a child has a Statement of SEN naming a school, a place will be offered even if the year group is already full.

### **Managed Moves**

The managed moves scheme which is in operation in Hartlepool will continue. Any applications for casual admission will be dealt with in accordance with the above co-ordinated admission scheme unless it is deemed to fall under the criteria for a managed move.

This scheme relates to all Hartlepool Primary and Secondary Schools.

## Appendix 5

### Summary of Responses from Governors

#### Discussed at the Admissions Forum 6<sup>th</sup> February 2012

Thirty six responses were received, all from Hartlepool Schools.

- Most schools noted/supported the proposed over subscription criteria for community and voluntary controlled schools including the movement of sibling link to the second criteria.
- Most schools noted/supported the proposed admission limits.
- All schools noted/supported the primary and secondary co ordination schemes and the scheme for in year transfers.

General comments received:-

#### Brougham

The Headteacher in response to the admission criteria reported that a child that might attend the nursery for two years but don't get a place in the school above the admission zone.

#### Holy Trinity

The Headteacher went onto request that an exercise is undertaken in Seaton Carew to define the number of Primary School children residing in Seaton Carew and where they attend school. She went on to say that she had been asked to consider 100% more admission applications that could be accommodated and therefore would like the admission number reviewed and revised in line with community needs. She continued to report that she felt that children from Seaton Carew were penalized resulting in them having to attend schools outside the local area. She added that she was aware of proposals for a new housing development of 270 homes.

#### Ow ton Manor

A Governor referred to the possible impact of a change in the admission criteria which might mean that a child from another area might take priority of a child who lives in zone.

#### Rossmere

A Governor questioned whether a change in the admission criteria would disadvantage families with only one child living in zone.

#### St Aidans

The Headteacher outlined to Governors his concerns in relation to the Partner Primary Schools system and that St Aidan's School is down to link with Dyke House Sports and Technology College in the admissions brochure which gives the impression that pupils will automatically go to Dyke House and in his opinion felt that this information is misleading adding that he would like to see the partner process reviewed.

Mr Taylor reported that two schools linked to Dyke House were also linked to another secondary school with Dyke House only liaised with two partner primary schools. He too agreed that it was wrong to publish this information.

#### Dyke House

Mr. A. Jordon reported that on line applicants for school admissions did receive notification earlier than those who applied by the form.

He went on to report on the timing of open evenings when other secondary schools held their evening earlier to Dyke House College.

#### High Tunstall

Governors noted that the tie-breaker proposed in the over-subscription criteria in 2012/13 'as the crow flies' was not the safest shortest route.

#### Manor College

It was pointed out that primary partner schools is not addressed in the criteria although the college admission policy does indicate investment with primary partner schools

#### Springwell

The Headteacher informed Governors that he had some concerns at the increasing numbers at Springwell but wanted to ensure that children get access to mainstream schools. He had raised this with Sue Beevers and also asked her to talk with Y6 children.

#### St John Vianney

The Headteacher reported that he had for the first time had to attend an appeal in respect of an in year transfer request for the school. He added that there had been 150 transfer requests across the town since September 2011. He explained that more schools were dealing with an increase in requests for reception classes. This particular appeal centered on there being no places available in any of the admission zone schools. A discussion took place on siblings having priority above living in the admission zone and whilst there was support, the school would not agree to this above a Catholic child.

#### Ward Jackson

It was noted that in 2012-13 the school will follow the LA admission arrangements with the introduction of their own admission policy in 2013-14.

**Comments received in relation to admission numbers**

Clavering

It was noted that the school admission numbers for the 2013/14 academic year is to increase to 55 and the school is hoping to have this increased to 60.

Lynnfield

Do not accept the proposed admission limits as appended to the report.

St Aidans

Request that the proposed admission limits as appended to the report be reviewed in line with new housing developments.

Dyke House

Reaffirmed the requirement to reduce the admission limit of 190.

**Comments received in relation to moving sibling link criteria**

St Peters/Hart

Governors agreed that both schools were part of the villages' communities and, therefore, to move sibling links above living within the admission zone would impact on a small village school and therefore felt that some caution should be given when considering this proposed change.

Governors were informed that neither of the schools was filled with children from the villages although numbers of children in the village communities were increasing in certain areas. Governors appreciated that St. Peter's Elwick was its own Admission Authority and, therefore, there was an added impact on the school in that the school had to pay for any admission appeals for admission to the school should they change their admission criteria.

It was reported by the Headteacher that there was the possibility of four children in Hart Primary with siblings who may not necessarily get a place at the school as they lived outside of the admission zone.

Governors went on to consider the issues faced in the town where families had children in more than one school. Governors felt that whilst there was capacity at present in the schools they would not wish to see any new families from the villages not having the chance to attend the schools in the future.

Governors confirmed that they were unable to support the proposed oversubscription criteria for community and voluntary controlled primary schools including the movement of sibling links to the second criteria as they felt that the schools will not be serving the local community.

The Governing Body felt such a move could be detrimental to the communities of Hart and Elwick particularly as the Governors had fought the proposed closure of St. Peter's School on the basis that they serve the community.

Furthermore they felt that Hart School was in a unique position and this did not appear to have been taken into consideration

#### Fens

Some discussion took place in respect of admission particularly around siblings. It was felt that parents should be discouraged from children changing schools, particularly mid year transfers, which compounds the problem of the admission of children particularly in Year 6. Governors felt it to be unfair to move siblings above living within the admission zone.

Following consideration it was **RESOLVED**  
not to support the proposed oversubscription criteria for community and voluntary controlled primary schools including the movement of sibling links to the second criteria.

#### Grange

The Headteacher informed Governors that the School was not over-subscribed at this present time, however, indications were that in 2012 the school might be oversubscribed which will require the admission criteria to be applied. Some debate took place in respect of the proposal to move sibling links above those living in the community and the possible impact and following a vote 10 voted to retain the current arrangements.

#### Rift House

Governors discussed the proposal to amend the admission criteria and expressed deep concerns in relation to sibling links being placed above admission zone children as they saw this as being very unfair particularly as the school is a community school.

Following consideration it was **RESOLVED**

Not to support the proposed oversubscription criteria for community and voluntary controlled primary schools including the movement of sibling links to the second criteria.

## West Park

The question was asked should a child attend a school with a statement of SEN and the situation if a family wanted to move other children to the school would they take priority above those living in zone.

Governors had been circulated with a report drawing their attention to the draft admission arrangements for admission to schools in 2013/14 for community and voluntary controlled schools in Hartlepool and to the Co-ordinated Admissions Scheme and to seek views in respect of these.

Councillor Wells particularly expressed concerns with regards to the proposal to move sibling links above living in the admission zone as he could foresee problems should a child move to the school from out of zone at which a number of Governors felt to be unfair. Whilst supporting the view that children from the same family should be educated together this should not be to the detriment of children living in zone.

Following consideration it was RESOLVED

Not to support the proposed oversubscription criteria for community and voluntary controlled primary schools including the movement of sibling links to the second criteria.



## **CHILDREN'S SERVICES PORTFOLIO DECISION RECORD**

27 March 2012

### **Extract**

The meeting commenced at 10.35 am in the Civic Centre, Hartlepool

#### **Present:**

Councillor Cath Hill (Children's Services Portfolio Holder)

Officers: Sally Robinson, Assistant Director, Child and Adult Services  
Peter McIntosh, Head of Planning and Development  
Danielle Swainston, Sure Start and Extended Services and Early Years Manager  
Sue Beevers, Admissions, School Place Planning and Support Services Manager  
James Sinclair, Youth Support Manager  
Graham Bryson, Integrated Youth support Service Planning Officer  
Denise Wimpenny, Principal Democratic Services Officer

### **28. Admission Arrangements for Admissions to Schools 2013-14 and Co-ordinated Admissions to Primary and Secondary Schools and In-Year Transfers 2013-14 and Update on New School Admissions Code 2012** *(Director of Child and Adult Services)*

#### **Type of decision**

Key decision test (ii)

#### **Purpose of report**

To determine the admission policy for community and voluntary controlled primary schools in Hartlepool for the school year 2012/13 and the coordinated admissions procedures to primary and secondary schools for 2012/13 following consultation with governing bodies, other admissions authorities and the general public.

#### **Issue(s) for consideration by Portfolio Holder**

The Head of Planning and Development reported on the main changes within the School Admissions Code that came into force on 1 February 2012 as set out in the report.

In accordance with usual practice, the Council as admissions authority for community and voluntary controlled schools were required to consult on admission arrangements for these schools each year.

Submitted as an appendix to the report was a summary of the consultation responses received. The views expressed were considered by the Admissions Forum on 6 February 2012. The Forum discussed in detail the implications of moving sibling above admission zone and voted two for, four against with two abstentions. Following the forum meeting the issue was raised with the Primary Head teachers and, following much debate, a 'straw poll' of community and voluntary controlled heads was taken with 6 for and 9 against moving sibling above zone. Not every Head teacher from these sectors was present at the meeting. It was noted that the final decision on this matter would rest with the Portfolio Holder for Children's Services.

Revised admission limits had been discussed with schools on the basis of revised net capacity figures, and these were attached at Appendix 1.

The co-ordinated schemes for primary and secondary admissions and In Year Transfers agreed by the Admission Forum were also attached as appendices.

The Head of Planning and Development reported that on the basis of the consultation exercise, it was proposed that the admissions policy for entry to community and voluntary controlled primary schools in 2013/14 be as follows:-

- Parents / carers be invited to express preferences for up to 3 primary schools in priority order and give reasons for their preferences.
- In the first instance, places would be awarded to those pupils with a statement of special educational needs where the school was named in the statement.
- The remaining places will be awarded in the following priority order:
  - 1) those children who are looked after children and previously looked after children (*previously looked after children are children who were looked after, but ceased to be so because they were adopted or became subject to a residence order or special guardianship order*);
  - 2) those children who have older brothers or sisters who will be attending the school in September 2013; (previously number 3)
  - 3) those children who live in the school's admission zone; (previously number 2)

- 4) those children who are distinguished from the great majority of other applicants whether on medical grounds or by other exceptional circumstances and who would suffer significant hardship if they were unable to attend the school;
- 5) those children who live closest to the school as determined by the shortest suitable walking distance (*measured by the shortest suitable walking route from the (ordnance survey) address point of the child's home address to the main entrance of the school, using the Local Authority's computerised measuring system*).

It was reported that the Admissions Forum no longer had a statutory standing following the new codes. The Admissions Forum can continue as a voluntary arrangement if it was of benefit. The consensus view from schools and the existing Forum was that it was prudent to retain the Forum and it should be kept, as it was an effective arrangement for receiving updates on codes, general matters of interest, feedback, debate etc, and the members were able to report back to other head teachers as necessary.

### **Decision**

- (i) That the proposed oversubscription criteria for community and voluntary controlled primary schools which proposes to promote the sibling criteria above school admission zone criteria set out in paragraph 4.1.1 of the report be approved.
- (ii) The revised admission limits attached be agreed.
- (iii) The Primary and Secondary and In Year Transfers co-ordinated admissions schemes be approved.
- (iv) That changes to the new school admissions code which came into force on 1<sup>st</sup> February 2012 be noted.
- (v) The proposal that the Admissions Forum should continue to meet in an advisory form be noted.

The meeting concluded at 11.40 am.

**P J DEVLIN**

**CHIEF SOLICITOR**

**PUBLICATION DATE: 2 APRIL 2012**

## SCRUTINY CO-ORDINATING COMMITTEE

13 April 2012



**Report of:** Scrutiny Manager

**Subject:** OVERVIEW AND SCRUTINY WORK PROGRAMME  
2012/13

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### 1. PURPOSE OF REPORT

- 1.1 To seek Members views on a repeat of the successful process implemented in 2011/12 for the identification of the 2012/13 Overview and Scrutiny Work Programme.

### 2. BACKGROUND INFORMATION

- 2.1 At the Scrutiny Chairs Informal Meeting on the 5 April 2012, consideration was given to the way forward in relation to the identification of the 2012/13 Overview and Scrutiny Work Programme. During the course of discussions support was expressed for a repeat of the process implemented for the identification of the 2010/11 Scrutiny Work programme.
- 2.2 The Scrutiny Co-ordinating Committee, at its meeting on the 15 April 2011 approved a revision to the work programme process for 2010/11. The basis of the revised process being that work programmes across all Forums would be discussed and identified by the Co-ordinating Committee at one meeting (to which all Scrutiny Members would be invited).
- 2.3 In line with the wishes of the Scrutiny Co-ordinating Committee, the Work Programme setting meeting for 2010/11 was held on the 24 June 2011. Whilst following the meeting some preferences were expressed for the original process, whereby each Forum identified its own work programme and fed back to the Scrutiny Co-ordinating Committee for approval, feedback for the revised process was very positive in:
- Providing the most effective use of Scrutiny Members time; and
  - Enabling the full co-ordination of the work programme, with a clear focus throughout the year on Scrutiny involvement in the exploration of the Councils challenging budgetary issues.
- 2.4 Members are asked to consider a repeat of this process, with emphasis again being on the most effective use of Scrutiny Members time and this

year the effective co-ordination of the work programme, with a clear focus throughout the year on Scrutiny involvement in the exploration of:

- The Councils challenging budgetary issues;
- Collaborative working programme;
- Joint Strategic Needs Assessment; and
- Health and Wellbeing Strategy.

2.5 The potential format for the day being.

**Morning Session\*** - Health Scrutiny Forum (to which all Scrutiny Members are to be invited)

\*To identify:

- The Health Scrutiny Forum Work Programme and enable it to be fed into the Scrutiny Co-ordinating Committee meeting on the afternoon. Constitutionally the Health Scrutiny Forum does not require Co-ordinating Committee approval for its Work Programme and as such this information / noting.
- Potential issues for referral to the Scrutiny Co-ordinating Committee, in relation to the Joint Strategic Needs Assessment and Health and Wellbeing Strategy, for consideration as part of the overall work programme setting process.

**Afternoon Session\*** - Scrutiny Co-ordinating Committee (to which all Scrutiny Members are to be invited)

\*To establish and approve the 2012/13 Overview and Scrutiny Work Programme.

### 3. RECOMMENDATIONS

- 3.1 That the Scrutiny Co-ordinating Committee considers the implementation of the proposed process for the identification of the 2012/13 Overview and Scrutiny Work Programme

**Contact Officer:-** Joan Stevens – Scrutiny Manager  
Chief Executive's Department - Corporate Strategy  
Hartlepool Borough Council  
Tel: 01429 284142  
Email: joan.stevens@hartlepool.gov.uk

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