

CABINET AGENDA



7th January 2013

at 9.30 am

in Committee Room B,
Civic Centre, Hartlepool

MEMBERS: CABINET:

The Mayor, Stuart Drummond

Councillors Hill, Lauderdale and Thompson.

1. **APOLOGIES FOR ABSENCE**

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

3. **MINUTES**

To receive the Record of Decision in respect of the meetings held on 17th December 2012 and 21st December 2012 (previously circulated)

4. **BUDGET AND POLICY FRAMEWORK**

4.1 Medium Term Financial Strategy (MTFS) 2013/14 to 2016/17 – *Corporate Management Team*

5. **KEY DECISIONS**

5.1 Community Pool 2013/14 – *Director of Regeneration and Neighbourhoods*
5.2 City Deal – *Director of Regeneration and Neighbourhoods*



6. OTHER ITEMS REQUIRING DECISION

- 6.1 Localism Act 2011 – Community Right to Bid – *Director of Regeneration and Neighbourhoods*

7. ITEMS FOR DISCUSSION/INFORMATION

- 7.1 Department for Work and Pensions (DWP) Flexible Support Fund (FSF) – *Director of Regeneration and Neighbourhoods*
- 7.2 Tees Valley Enterprise Zone – Hartlepool Progress Update – *Director of Regeneration and Neighbourhoods*
- 7.3 Think Family/Think Communities Plan (Troubled Families Programme) Update – *Director of Regeneration and Neighbourhoods*
- 7.4 Innovation Fund – *Director of Regeneration and Neighbourhoods*





Report of: Corporate Management Team

Subject: MEDIUM TERM FINANCIAL STRATEGY
(MTFS) 2013/14 TO 2016/17

1. TYPE OF DECISION / APPLICABLE CATEGORY

Budget and Policy Framework.

2. PURPOSE OF REPORT

2.1 The purposes of the report are to:

- i) update Cabinet on the impact of the Local Government Finance Settlement announcement; and
- ii) to enable Cabinet to revise the MTFS and the formal budget proposals approved on 17th December 2012 if this is necessary as a result of the actual grant cuts announced in the Local Government Finance Settlement and to refer any revised proposals for Scrutiny.

3. CONSIDERATION OF ISSUES

- 3.1 A comprehensive MTFS was submitted to Cabinet on 17th December 2012 detailing the forecast budget deficits for 2013/14 to 2016/17. These forecasts were based on anticipated grant cuts and the report outlined a proposed strategy for managing the forecast 2013/14 budget deficit. The purpose of the report was to enable Cabinet to approve the final budget proposals to be referred for formal scrutiny.
- 3.2 The report advised Members that the financial forecasts may change if the actual grant cuts are different to the forecasts. As this position will not be known until 19th December 2012 Cabinet needed to approve the initial strategy to enable the budget process to progress to ensure the Council is able to approve a 2013/14 Budget and Council Tax level in February.
- 3.3 An assessment of the Local Government Finance Settlement and the impact on the MTFS will be prepared as soon as this announcement is made by the Government. If all the necessary information has been

provided by the Government these details will be reported to Cabinet on 21st December 2012 to enable Cabinet to consider and approve any changes to the recommendations approved by Cabinet on 17th December. However, if this is not possible these details will be reported to Cabinet on 7th January 2013.

- 3.4 The additional report will enable Cabinet to finalise the budget proposal to be referred for Scrutiny and ensure the budget process can be complete in February 2013.

4. RECOMMENDATION

- 4.1 It is recommended that Cabinet notes that if Government have not issued all the relevant supporting information on the Local Government Finance Settlement before the Cabinet meeting scheduled for 21st December 2012 this information and the impact on the budget proposals considered by Cabinet on 17th December 2012 will be reported on 7th January 2013.

CABINET REPORT

7th January 2013



Report of: Director of Regeneration & Neighbourhoods

Subject: COMMUNITY POOL 2013/14

1. TYPE OF DECISION/APPLICABLE CATEGORY

- 1.1 Key Decision (test (i) and (ii) applies) Forward Plan Reference No. RN 30/12.

2. PURPOSE OF REPORT

- 2.1 To feed back to Cabinet on the Community Pool processes and allocations for 2012/13 and to present proposals for the suggested allocations of Community Pool budget and approval processes for 2013/14.

3. BACKGROUND

- 3.1 In 2012/13 the approach to commissioning the Community Pool budget has been significantly different to the process undertaken in previous years. This change was brought about following a review of the Community Pool grant programme.
- 3.2 Cabinet agreed on 21 November 2011, that Community Pool funding would be allocated via the following five categories:
- Category 1 – The provision of universal welfare benefits and advice;
 - Category 2 – The provision of universal credit union support;
 - Category 3 – Capacity and resource building in the Voluntary and Community Sector (VCS);
 - Category 4 – The provision of town-wide specialist and support services;
 - Category 5 – The provision of development / investment and emergency grants.
- 3.3 A formal procurement process was undertaken to award categories 1, 2 and 3 via contracts, with agreement that the remaining budget would be made available for categories 4 and 5, a total of £151,797. The original intention was to split the remaining budget equally between categories 4 and 5; however it was agreed that the decision on allocating funding to each Category should be postponed for 2012/13 grants in order to assess the level of interest in Category 4.

- 3.4 The Community Pool grant fund was opened to applications from all VCS Organisations in Hartlepool, with set specific eligibility criteria and guidance for both Categories 4 and 5. A deadline was set for applications for Category 4, as this was core costs support for organisations that provide town-wide specialist and support services, funding runs in line with the financial year; whereas Category 5 is open to applications whilst funding is available.
- 3.5 19 applications were received for Category 4; the level of funding available was over-subscribed by £250,000, with the total level of funding requested through applications totalling £401,138. The requests received ranged from £6,058 to £43,473 and were from a wide variety of diverse organisations. The over-subscription highlighted the fiscal pressures faced by the Council and it was apparent that disappointment to some interested parties would be unavoidable.
- 3.6 Due to the high level of funding it was necessary to closely consider and prioritise each application against the eligibility criteria detailed in the Community Pool Application Guidance and Information Pack, strategic links to the aims of Community Pool grant programme, beneficiaries, output, outcomes, value for money and performance management, with additional consideration given to:
- a) If the same service is presently or due to be commissioned by the Council through another channel, and
 - b) If the applicant organisation receives a significant level of their income from the council or receives management fees for core costs from the council through existing contracts.
- As well as consideration of what the grant would pay for, leverage, reserves of the organisation and any other relevant information provided by the organisation to accompany the application forms.
- 3.7 The assessments were undertaken by a panel of officers with representation from Neighbourhood Management, Community Regeneration and Development Team and Corporate Procurement Team. These assessments formed the basis of the recommendations presented and approved by Mayors Portfolio on 21st May 2012.
- 3.8 Given the level of demand, approval was given to 9 of the 19 projects totalling £151,529; which was almost the full allocation of the original budget to Category 4. The budget allocated to Category 5 was made up from the small amount of unallocated funding, a reserve from 2011/12, which was able to be utilised this financial year and inflation on the original budget which was not part of the original allocation, in total £52,863.
- 3.9 In addition to the 9 grants approved through Category 4, one development and investment grant and two emergency have been approved; the current level of funding remaining for Category 5 is £29,836, however there have been a couple of recent enquiries into this funding, and this amount is subject to change. Officers are monitoring the budget and the Council's

finance department are being regularly updated about the expected level of carry over of the reserves.

4. LESSONS LEARNT FROM 2012 / 13

- 4.1 **Category 4** – Feedback gained through the appeals process questioned the clarity of the application guidance over eligibility. Due to the level of oversubscription a process was put in place to enable recommendations for approvals to be made, this was based around the eligibility criteria. Suggested improvements include:
- The application guidance will be strengthened to make it explicit that receipt of any funding from elsewhere in HBC (e.g. other grants or contracts etc.) will be a consideration of any funding assessment as well as if the service proposed by the VCS organisation is a duplication of a service currently or due to be funded / contracted by the Council.
 - Further support will be offered to applicants throughout the application process.
 - Clarification within the application guidance that projects will be scored if there is an over subscription.
- 4.2 The lead in time for the processing and consideration of applications and timescales to turn around applications was challenging due to the timeframe set. A timescale is proposed in Section 7 which outlines target dates to ensure that grant payments will be made at the beginning of the financial year and not delayed until June as was the case last year.
- 4.3 Should an assessment panel of officers be required, commissioning officers from Child & Adult Department will be included in this process to ensure that up to date information about current contracts is available.
- 4.4 As part of the evaluation, additional checks will be incorporated into the process including checking the Integra finance system to cross reference other HBC funding VCS groups are receiving directly.
- 4.5 **Category 5A** – Through the delivery of the development and investment grants the following observations have been made which will be taken into account in improving the process in 2013/14.
- 4.6 Considerable officer time was required primarily to assist the applicant in developing their project in order for it to be suitable for submission and consideration.
- 4.7 To improve the process, an initial eligibility assessment meeting will be incorporated into the application process to ensure that project development meets the eligibility criteria from the outset.
- 4.8 **Category 5B** - Through the delivery of the emergency grants the following recommendations are being made to improve the process for 2013/14.

- 4.9 Include additional internal Local Authority checks in the evaluation process for the grant to give an overview of any problems that the VCS group may be experiencing e.g. if the group has outstanding debts with the Council.
- 4.10 Incorporate a structured assessment meeting with applicants at the initial stage of the application process, to gain a clear picture of the current state of the VCS group as well as determine what support would be required to assist the group to secure additional further funding.
- 4.11 In 2012/13 many applicants found out indirectly via local media the result of their application. Lessons have been learnt from this and all applicants applying for Category 5 are contacted by the grant officer notifying them of the timescales and whether their application is recommended for approval or not, this will also apply to Category 4 in 2013/14.
- 4.12 All amendments to the application process will be referred to in the application guidance to ensure transparency; all guidance will be updated following approval by Cabinet on the Community Pool funding programme for 2013/14 to reflect any changes. In addition to this improvements will be made to the details in the application guidance in relation to Category 5B, e.g. an example of how emergency funding can be used will be included.
- 4.13 It should also be noted that the approval process for emergency funding was challenging; particularly getting an application to the stage where it can be considered for approval in the short timescales outlined in the guidance.

5. ISSUES FOR CONSIDERATION

- 5.1 **Budget** – It is expected that the budget for 2013-14 for the Community Pool will be the same as that for 2012-13 with a slight increase due to inflation. It is proposed the contracts for Categories 1, 2 and 3 continue for an additional year as allowed for within the existing contract specification documentation, therefore the level of funding available for categories 4 and 5 will be of a similar level to this year. However, this will be dependent upon satisfactory project delivery (monitored through the contract management process).
- 5.2 The budget for these categories was not split until applications were received and as outlined in 3.3 the majority of the original budget was used for Category 4 with reserves utilised for Category 5.
- 5.3 In light of the lessons learnt (outlined in section 4) the budget proposal for next year is to follow the same principle as this year. This is to allocate £150,000 to Category 4 and the reserve plus inflation to be allocated to Category 5. Whilst there would be a reduced amount for Category 5, Category 4 would be sustained at the same level, enabling the maximum resource to go towards meeting the demonstrated demand there is for Category 4; this will help to secure a number of VCS organisations for a further year.

- 5.4 As a result, the funding allocation will be set making it clear from the outset the parameters that grants will be allocated against. Whilst this would offer a reduced figure available for Category 5; demand has been lower for these grants and as such funding has been available to provide grants as applications have come forward, at the present time there are funds unallocated in Category 5 (this is the reserve that this proposed to be carried forward to 2013/14).
- 5.5 **Grant Amounts** - In 2012-13 there was no upper limit set for Category 4, following suit from previous years. 19 applications were received ranging from £6,058 to £43,473; given the level of funding available and significant over subscription it was challenging to compare the applications. A possible solution to this would be to introduce a maximum grant level for Category 4.
- 5.6 Reviewing the applications and allocation for Category 4 in 2012/13;
- the average value of applications received was £21,113.60;
 - the value of approved projects ranged between £6,058 and £24,314, and
 - the average grant allocation was £16,836.54.
- 5.7 The suggestion put forward is to introduce a maximum grant level for Category 4 (provision of town-wide specialist and support services) of £15,000. This could allow a minimum of 10 projects to benefit from Category 4 funding in 2013-14, this would allow for at least one more group to benefit from these grants than in 2012/13 and will therefore will provide a wider benefit. This level of grant is roughly in line with the average grant approved in 2012/13 and whilst there would be a potential impact for groups with a reduction against the level of funds secured this year, there is no guarantee that a group will be successful in securing funds in 2013/14.
- 5.8 The application process for 2012/13 clearly demonstrated that there was demand for grants through Category 4 and the introduction of a maximum grant will increase the number of groups securing funds through this grant programme. The only potential detrimental effect of this approach is that the introduction of a maximum grant could lead to groups applying for this level of funding even if it is in excess of the level required to run the service.
- 5.9 **Category 5** – There are two grant streams in this category:
- Category 5a – The provision of development / investment grants
 - Category 5b – Emergency fund
- Current grant amounts available for both categories are between £2,000 and £8,000. The allocation of budget is not formally split between these two grant streams, it is one budget that is allocated to meet demand.
- 5.10 To date this year, one development / investment grant has been allocated for and two emergency grants have been issued. Implementing a maximum grant has resulted in the grants applied for being close to the maximum available. However, given the nature of emergency grant funding it is likely that applications will be in line with the maximum in order to sustain the projects for as long as possible.

- 5.11 The allocation of set budget amounts to each category (see 5.3) will result in a reduced budget available for Category 5. To maximise the support available through Category 5 an option to be considered would be to reduce the maximum grant available.
- 5.12 A maximum of £5,000 is a suggested alternative to the £8,000 available in 2012/13. Reducing the maximum grant available will ensure that there is sufficient funding in the budget to benefit more VCS groups should they be required to access it.
- 5.13 The intention is that emergency grants are for short term funding to assist groups whilst awaiting the outcome of funding decisions, and groups should have a clear plan in place to ensure ongoing service delivery. A grant of up to £5,000 will still achieve this and with the additional support offered to groups through the Community Regeneration and Development Team, should ensure the effective delivery of emergency grants in the future.
- 5.14 In regard to Category 5A, development and investment grants, the experience of Officers delivering the grant programme has been that it has taken considerable officer time working with the applicant to get to a stage where the application was ready to be considered for approval. By including additional stages in the pre-application informal assessment meeting this will ensure that applicants are aware of what the purpose of the grant is and will allow an opportunity to discuss project ideas prior to a grant being submitted.

6. ASSESSMENT & APPROVAL PROCESSES

- 6.1 **Category 4** – Building on the experience gained in delivering these grants in 2012/13 it is suggested that the Panel who consider the applications be expanded to include the following:
- Commissioners (Child & Adult)
 - Portfolio Holder / Chair of Committee (from May 2013)
- This will ensure a clearer picture in relation to services that have been contracted with applicants and ensures that decision makers are involved in all stages of the consideration of applications.
- 6.2 A report with recommendations of the Panel will be submitted to Cabinet or the appropriate Committee for approval. Due to the timescales for Category 4, allocations will be made prior to any changes to Council Governance arrangements. Assessment and approval processes for future years will be revisited in light of Council Governance arrangements post May 2013.
- 6.3 **Category 5** – In light of the difficulties presented by the current approval process particularly with regard to emergency applications (outlined in 4.13), it is suggested that future applications are delegated to the Director of Regeneration and Neighbourhoods subject to consultation with the appropriate Portfolio Holder or Committee Chair on a case by case basis and any mechanism put in place to consider and approve grant funding will

accord with the governance arrangements adopted by the Council from the beginning of the municipal year 2013/14. Until this is determined current arrangements will remain in place, which is for applications to be considered on a case by case basis by the relevant Portfolio Holder.

7. TIMESCALES

- 7.1 To ensure that grant payments are achieved in April 2013 for Category 4, the following timescale is being worked towards:
Working with HVDA to launch the Community Pool Grants - W/C 28th January 2013
Deadline for applications, Category 4 – W/C 25th February 2013
Panel Meetings – W/C 4th March 2013
Report to Cabinet for Approval – W/C 18th March 2013
Payments Made – W/C 8th April 2013

- 7.2 Category 5 applications can be considered at anytime throughout the year.

8. LEGAL IMPLICATIONS

- 8.1 There are no known legal implications at this stage in relation to Community Pool.

9. FINANCIAL IMPLICATIONS

- 9.1 To safeguard the Council's investment and minimise risk, it is recommended that where grant aid is approved, the frequency of payments should be determined on a case by case basis dependent on the level of grant and purpose of the funding. In all cases it is proposed that an element of the grant funding is paid in advance to support the projects.
- 9.2 A thorough monitoring process will be undertaken with all successful applicants to ensure that the projects are performing as expected. The frequency of monitoring and performance management will be determined on a case by case basis, the detail of which will be set out in individual offer letters ensuring that organisations are aware of monitoring requirements from the outset of the project.
- 9.3 This approach will highlight successes within the local supply base, but will primarily allow the Local Authority to monitor the impact of service provision within the VCS in the robust manner envisaged by Cabinet (21st November 2011). This process is being adhered to for 2012/13 and it is recommended that the same approach is taken in 2013/14.

10. RISK IMPLICATIONS

- 10.1 For Category 4 and 5A the risk implication for Hartlepool Borough Council is minimised as there are checks and monitoring as part of the processes which protect expenditure by ensuring that agreed outcomes are being met and services delivered.
- 10.2 The nature of the emergency grant allocated through Category 5B presents a greater risk for the Council with regard to expenditure. Additional checks and balances are being proposed for implementation in 2013/14 and the process is under constant review as part of the management of the fund to ensure that improvements can be made and Council funds are expended in line with the purpose of the grant criteria.
- 10.3 There are no non compliance issues in relation to the undertakings of the Hartlepool Community and Voluntary Sector Strategy.

11. RECOMMENDATIONS

- 11.1 Cabinet are asked to:
- 1) Approve the split of the budget to use £150,000 to Category 4 and reserve plus inflation to Category 5.
 - 2) Approve the introduction of a maximum grant for Category 4 of £15,000.
 - 3) Approve a reduction in the maximum grant through Category 5 to £5,000.
 - 4) Approve the assessment and approval processes as outlined in Section 6 of this report.
 - 5) Note the Timescales as outlined in Section 7 of this report

12. REASONS FOR RECOMMENDATIONS

- 12.1 After administering the grants programme for a year, all recommendations are based on lessons learnt through this process.

13. BACKGROUND PAPERS

- (i). Item 5.1 from Cabinet on 21st November 2011.
- (ii). Minutes from Cabinet on 21st November 2011.
- (iii). Item 6.1 from Cabinet on 6th February 2012.
- (iv). Minutes from Cabinet on 6th February 2012.
- (v). Item 5.1 from Cabinet on 20th February 2012.
- (vi). Minutes from Cabinet on 20th February 2012.
- (vii) Item 5.12 from Cabinet on 19th March 2012.
- (viii) Minutes from Cabinet on 19th March 2012.
- (ix) Item 1.2 from Mayor's Portfolio on 21st May 2012.
- (x) Minutes from Mayor's Portfolio on 21st May 2012.

14. CONTACT OFFICER

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CABINET REPORT

7th January 2013



Report of: Director of Regeneration and Neighbourhoods

Subject: City Deal

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Key Test i and ii apply. Forward Plan Reference No: RN 31/12

2. PURPOSE OF REPORT

- 2.1 To update Cabinet on the progress of City Deal
- 2.2 To provide an outline of the proposed Tees Valley City Deal expression of interest process.
- 2.3 To seek initial comments from Cabinet

3. BACKGROUND

- 3.1 In October 2012 the Government formally invited Tees Valley, along with a further 20 towns/cities/functional economic areas, to apply for a second wave 'City Deal'. Since that date officers from all 5 Tees Valley Local Authorities along with staff from Tees Valley Unlimited (TVU) have been working to produce a draft or outline proposal for discussion with partners including the Local Authorities, business representative organisations and TVU's lead contact from the Government's Cabinet Office.
- 3.2 A draft which sets out Tees Valley's offer and ask of Government which will provide the basis for any City Deal arrangement has been prepared which at the time of writing needs to be firmed up and justified by evidence and this work continues to take place. The purpose of the document is to provide Government with an Expression of Interest only at this stage. Should this expression of interest meet with Government approval, Tees Valley will then be required to submit a formal, detailed proposal.

- 3.3 Currently the draft is some 13 pages long and the absolute maximum length for the Expression of Interest to be submitted is 8 pages. Some further work will be necessary to comply with this requirement whilst not losing the unique features that differentiates the Tees Valley bid from others together with the ambitious, bold and transformative proposal that the Government seeks.
- 3.4 The Expression of Interest has to be submitted by 15th January and the indications are that perhaps as few as 12 out of the 20 cities/towns/functional economic areas invited to bid will be successful. Clearly the aim is to get through this competitive stage and then enter into much more detailed negotiations with the Government to firm up the deal, which could be anywhere up to a year in terms of timescale.
- 3.5 At present, the expression of interest focuses on the following key challenges, opportunities and key “asks” of Government.
- Fundamental Challenge is not enough jobs particularly private sector ones, over reliance on public sector leading to high levels of unemployment
 - Key sectors are important to UK economy but involve high use/emission of CO2
 - Significant strengths in exporting but significant untapped potential
 - Opportunity lies in scale and make up of industrial activity
 - Opportunity to accelerate pace of change deploying green technology
 - Opportunity to grow and make it much more competitive by integrating activities and supply chains
 - Vision involves home to globally significant petro-chemical, bio-chemical and new renewable energy sectors that drives forward greater diversification and opportunity in other sectors such as advanced manufacturing, sub-sea, digital enablement
 - The area’s offer involves use of the Investment Fund as a catalyst for private sector investment
 - Local companies will lead the integration to enhance competitiveness
 - The Government is being asked for a single capital pot allocation, innovative funding mechanisms and a policy approach that is cross-departmental, cohesive and comprehensive
 - In addition investment in commercialising research, ensuring that skill needs are met and infrastructure provision keeps pace with the growth are also being sought
- 3.6 Given the nature of the exercise, the complexity and the need for absolute confidentiality due to the competitive nature of the City Deal bidding process, the Council is asked to support the bid, comment on fundamental points of principle and agree that the final form of the Expression of Interest submission will be settled by TVU via the Chairman and Managing Director, after full consultation with officers from the five Tees Valley Local Authorities.

4. FINANCIAL CONSIDERATIONS

- 4.1 There are no financial considerations at this stage, however, should a City Deal bid for Tees Valley be successful, there is an expectation that certain powers and budget responsibilities will be devolved from Government to the body established to deliver the City Deal. Whatever that body ends up being in terms of a governance model, for example a combined authority, a company limited by guarantee, etc, there will also be an expectation that all 5 Tees Valley local authorities sign up to these arrangements.

5. LEGAL CONSIDERATIONS

- 5.1 There are no legal considerations at this stage, however, as with the financial considerations highlighted above at Section 4 of the report, should a Tees Valley City Deal be approved there is likely to be implications for all 5 Tees Valley boroughs regarding the governance and decision making processes. These details will need to be fully explained and consulted upon as part of any approval process through this Council.

6. EQUALITY AND DIVERSITY CONSIDERATIONS

- 6.1 There are no equality and diversity considerations associated with this report

7. SECTION 17 OF THE CRIME AND DISORDER ACT 1998 CONSIDERATIONS

- 7.1 The Crime and Disorder Act 1998 requires local authorities to consider crime and disorder reduction in the exercise of all their duties, however, it is too early to say what contribution any successful City Deal proposal might have in Hartlepool.

8. RECOMMENDATION

- 8.1 Cabinet is recommended to approve the submission of an 'Expression of Interest' for City Deal from Tees Valley, which if successful will result in a more detailed application being put together in full consultation with all 5 Tees Valley local authorities.

9. BACKGROUND PAPERS

- 9.1 Cabinet report 15th October 2012 – 'City Deal'

10. CONTACT OFFICER

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Cabinet

7th January 2013



Report of: Director of Regeneration and Neighbourhoods

Subject: LOCALISM ACT 2011 – COMMUNITY RIGHT TO BID

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Non-Key.

2. PURPOSE OF REPORT

2.1 To advise Cabinet of the requirements and guidance in connection with the “Community Right to Bid” subsequent to the Assistant Chief Executive’s Cabinet report of 6th August 2012.

3. BACKGROUND

3.1 The Localism Act (“the Act”) was enacted on 15 November 2011, and the Assets of Community Value provisions in Part 5 Chapter 3 were commenced for England at the same time as the Regulations made under those provisions came into force, both on 21 September 2012.

3.2 The provisions

- Give communities the right to identify buildings or other land that they believe to be of importance to community’s social well-being (assets of community value)
- Ensure that if a (listed) asset comes up for sale, they will be given a fair chance to make a bid to buy it on the open market

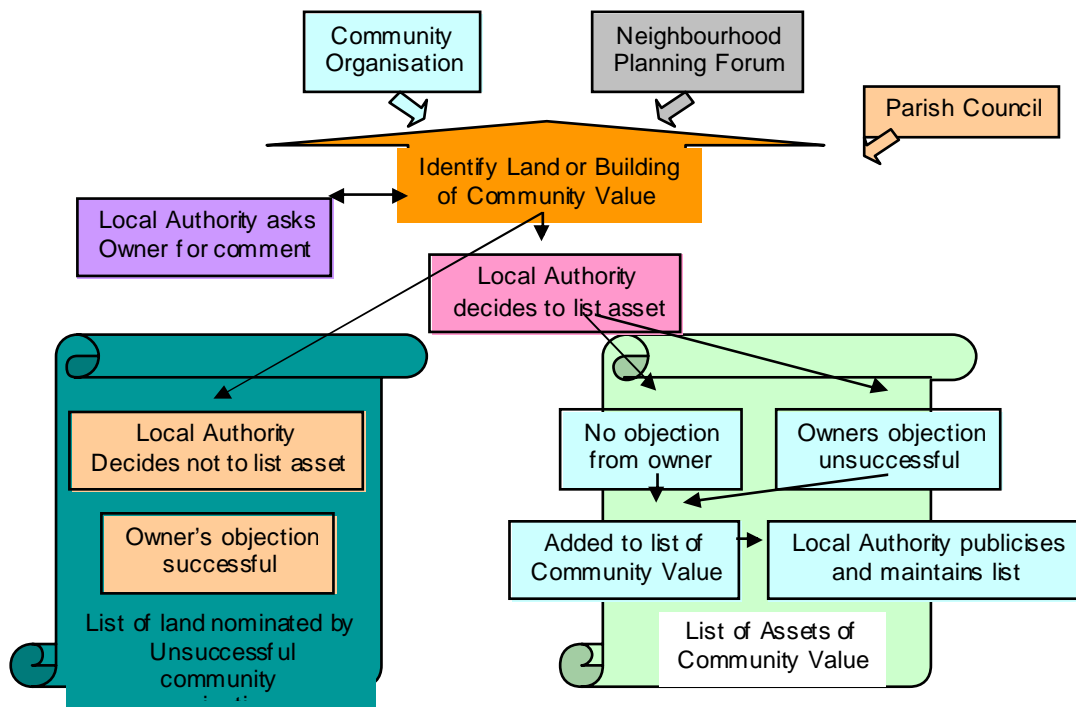
Nothing further will happen unless and until owner decides to dispose of asset.

3.3 The provisions **do not**

- Place any restriction on what an owner can do with their property
- Restrict who an owner of a listed asset can sell his property to, or at what price
- Confer a right of first refusal to community interest groups

3.4 The Act places a legal duty on all local authorities to maintain a publicly available list of assets of community value. A building or land in a local authority's area is an asset of community value **if in the opinion of the authority:**

- current primary use of the building/land or use of the building/land in the recent past furthers the social well-being or social interests (cultural, recreational, or sporting interests) of the local community;
- it is realistic to think that now or in the next five years there could continue to be primary use of the building/land which will further the social well-being or social interests of the local community.



3.5 Local authorities will have some say over the form of the list. Listed assets will be removed from the list after five years. Land and buildings can **only** be listed as community assets if this is permitted by regulations made by the Secretary of State and a parish council or 'voluntary or community body' with a 'local connection' has submitted a 'community nomination.' Listed assets will also need to be entered on the local land charges register.

3.6 Owners of listed assets cannot dispose of them without:

- letting the local authority know that they intend to sell the asset or grant a lease of more than 25 years;
- waiting until the end of a six week 'interim moratorium' period if the local authority does **not** receive a request from a community interest group to be treated as a potential bidder;
- waiting until the end of a six month 'full moratorium' period if the local authority **does** receive a request from a community interest group to be treated as a potential bidder.

3.7 The owner does **not** have to sell the asset to the community group.

- 3.8 There is also a 'protected period' (18 months from the time that the owner notified the local authority of their intention to dispose of the asset) – during this time there can be no further moratoriums.
- 3.9 Local authorities have a legal duty to:
- consider community nominations and list buildings/ land as community assets if they meet the criteria;
 - write to unsuccessful community nominators and explain why they have decided not to list the building/land as a community asset;
 - give written notice of the inclusion or removal of buildings/land from the list of community assets to the owner of the building/land, the occupier of the building/land, the community nominator and anyone else specified in regulations made by the Secretary of State;
 - draw the owner's attention to the consequences of their building/ land being listed as a community asset and the right to ask for the decision to be reviewed by the local authority;
 - maintain a publicly available list of unsuccessful community nominations, which explains why these nominations were unsuccessful;
 - make the community nominator and local residents aware when the owner of a listed asset gives notice of their intention to sell – the local authority is also responsible for updating the entry for the listed asset to include the owners intention to sell and dates for the end of the 'interim' and 'full' moratorium periods and 'protected period';
 - notify the owner of a listed asset of a written request from a community interest group to be treated as a potential bidder.
- 3.10 The Secretary of State has powers to introduce regulations that set out:
- the types of buildings/land that are **not** of community value – regulations may be based on the owner of the building/land, the occupier of the building/land, the nature of the building/land, the use to which the building/land has been, is being or could be put and the price or value of the building/land
 - the contents of the 'community nomination' and the exact meaning of 'voluntary or community body with a local connection' and 'community interest group'
 - the procedures local authorities must follow when deciding whether to list buildings or land as community assets
 - the procedures local authorities must follow when reviewing decisions to list buildings or land as community assets
 - who will be eligible for compensation, how compensation will be calculated and who will be required to pay compensation (depending on the regulations this may apply to local authorities)
 - how enforcement action will be carried out

4. **COMMUNITY RIGHT TO BID: NON STATUTORY ADVICE NOTE FOR LOCAL AUTHORITIES**

- 4.1 The provisions give local groups a right to nominate a building or other land for listing by the local authority as an asset of community value. It can be

listed if a principal (“non-ancillary”) use of the asset furthers (or has recently furthered) their community’s social well-being or social interests (which include cultural, sporting or recreational interests) and is likely to do so in the future. When a listed asset is to be sold, local community groups will in many cases have a fairer chance to make a bid to buy it on the open market.

- 4.2 The Assets of Community Value legislation places requirements on the following local authorities in England:
- (a) a district council,
 - (b) a county council for an area for which there are no district councils,
 - (c) a London borough council,
 - (d) the Common Council of the City of London, or
 - (e) the Council of the Isles of Scilly.
- 4.3 The scheme has two main parts: nominating and listing assets and the moratorium.

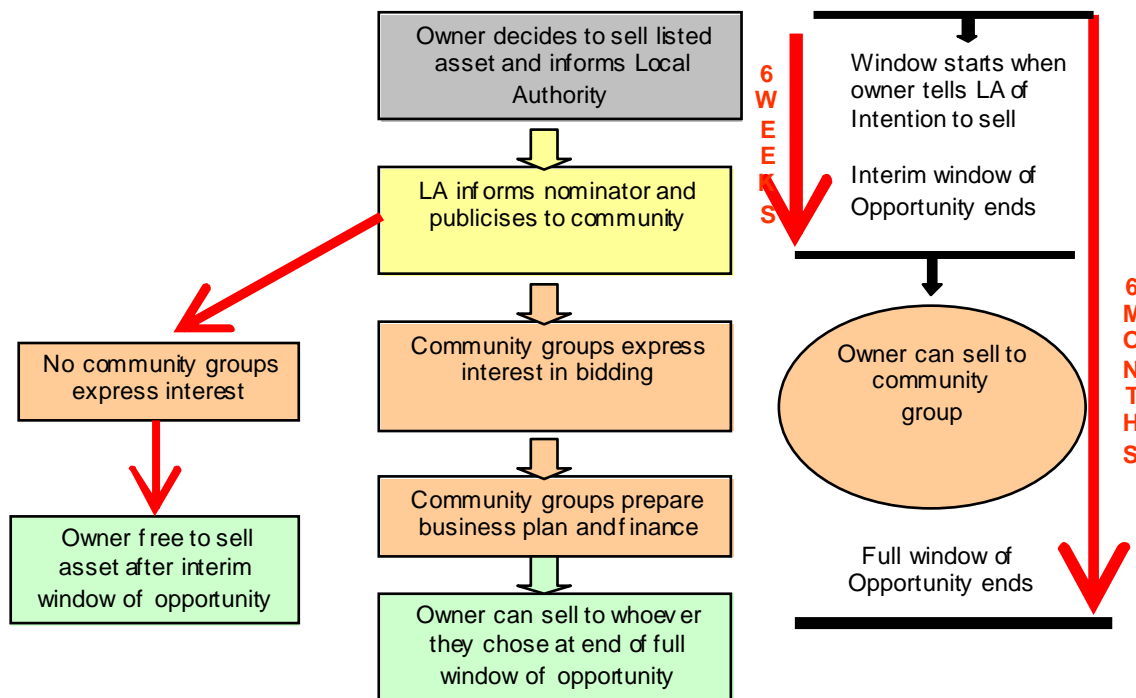
Nominating an asset – Implications for the Council

- 4.4 It is open to parishes and community organisations, including neighbourhood forums (as constituted under section 61F of the Town and Country Planning Act 1990, added to that Act by the Localism Act) to nominate local assets to their local authority, to be included on the list of assets of community value. Nominated assets may be owned by anybody, including the local authority and the Crown.
- 4.5 A neighbouring parish council can nominate an asset. Where the land is in a parish area, this means a parish which shares a border with it; or if an asset is in an unparished local authority area, so that there is no immediately adjoining parish council within the same local authority area, a parish council that borders the local authority could nominate an asset.
- 4.6 The local authority will then have 8 weeks to make a judgement about whether the asset meets the definition set out in section 88 of the Act or whether it falls into one of the excluded categories, including residential property, set out in Schedule 1 to the Regulations.
- 4.7 If the nominated asset is properly nominated, is in the local authority’s area, meets the definition, and is not excluded, the local authority must list it and inform all specified parties (including the parish council). They must also place the asset on the local land charges register and, if the land is registered, apply for a restriction on the Land Register.
- 4.8 If the owner objects to their property being placed on the List, they will have a right to an internal review by the council of the decision to list. The details of this process are set out below. If the owner remains in disagreement with the listing after the internal review they have a right of appeal to an independent Tribunal.
- 4.9 If the local authority do not agree that the asset nominated meets the section 88 definition, or it is in one of the excluded categories, they must place it on

a list of assets nominated but not listed. If an owner is successful in their appeal against listing at internal review or Tribunal stage then the asset must also be moved to the list of unsuccessful nominations. It is for the local authority to decide how long they hold unsuccessful nominations on this list. The intention of this is to ensure transparency and to avoid multiple nomination of an asset that does not meet the definition.

Moratorium

- 4.10 Once an asset has been listed nothing further will happen unless and until the owner decides to dispose of it, either through a freehold sale, or the grant or assignment of a qualifying lease (i.e. originally granted for at least twenty-five years). The figure below illustrates the procedures to be followed:-



- 4.11 Unless an exemption applies, the owner will only be able to dispose of the asset after a specified window has expired.
- 4.12 The first part of this window is a 6 week interim period, which will apply in all cases, from the point the owner notifies the local authority. This will allow community interest groups to make a written request to be treated as a potential bidder. If none do so in this period, the owner is free to sell their asset at the end of the 6 weeks.
- 4.13 If a community interest group as defined in regulation 12 of the Regulations (referring to the bodies in paragraph (1) (d) to (g) of regulation 5) does make a request during this interim period, then the full 6 month moratorium (again from the point the owner notifies the local authority) will operate. During this period the owner may continue to market and negotiate sales, but may not

exchange contracts (or enter into a binding contract to do so later). There is one exception. The owner may sell to a community interest group during the moratorium period.

- 4.14 After the moratorium period – either the 6 weeks if there has been no community interest, or the full 6 months – the owner is free to sell to **whomever they choose and at whatever price**, and no further moratorium will apply for the remainder of a protected period lasting 18 months (running from the same start date of when the owner notified the local authority of wishing to sell). The process and lengths of the moratorium periods are contained in section 95 of the Act².
- 4.15 Not all proposed sales have to be notified to the local authority however. A range of disposals will be exempted from the provisions. A number are set out in section 95(5) of the Act, and others are in the Regulations.

Compensation

- 4.16 The scheme recognises that these provisions may have some financial impact on owners and provides a compensation scheme for private property owners. This will not be available to public bodies. The local authority will be responsible for administering the compensation scheme, including assessing and determining compensation awards. Owners and former owners will have rights of review and appeal regarding the authority's compensation decisions.

Enforcement

- 4.17 The scheme provides for various mechanisms to encourage compliance by requiring local authorities to:
- Inform owners and other interested parties that an asset has been listed
 - enter on the local land charges register the fact that an asset has been listed; and
 - in the case of registered land, apply for a restriction on the Land register.
- 4.18 Additionally, to give a strong incentive to owners to comply with the scheme, non-compliant sales will be void (ineffective), meaning that the change of ownership has not taken place (regardless of whether it has erroneously been registered on the Land Register - which would have to be rectified once the fact that the sale was void was discovered). However this penalty will not apply if the owner was unaware through no fault of their own that the land was listed when it was sold.

What the provisions do not do

- 4.19 These provisions do **not** restrict in any way who the owner of a listed asset can sell their property to, or at what price. They also do **not** confer a right of first refusal to community interest groups (unlike the Scottish scheme).³

- 4.20 The provisions do not place any restriction on what an owner can do with their property, once listed, so long as it remains in their ownership. This is because it is planning policy that determines permitted uses for particular sites. However the fact that the site is listed may affect planning decisions - it is open to the Local Planning Authority to decide whether listing as an asset of community value is a material consideration if an application for change of use is submitted, considering all the circumstances of the case.

5. PROPOSALS

- 5.1 The Council has previously compiled a list of locally significant buildings approved the Community Safety and Housing Portfolio Holder on 18th November 2011. Such a list has been encouraged by Central Government to identify buildings which are architecturally or historically significant. Locally Listed Buildings are not of national significance and do not have the same statutory protection, however they may merit local protection because, for example, they are the work of a local architect or have a link to a locally significant historical figure which, although not nationally noteworthy, nevertheless make a contribution to the local sense of place.
- 5.2 This list does not constitute the “list” in relation to the “Right to Bid” legislation. The “Nomination” procedures under the legislation will govern this.
- 5.3 Cabinet are asked to make any comments on how the Council might deal with the Right to Bid and agree for the Director of Regeneration and Neighbourhoods and the Chief Solicitor to put procedures in place to deal with nominations, compensation and enforcement and to maintain the list thereafter.
- 5.4 It is suggested that Cabinet agree for the Finance and Corporate Services Portfolio Holder to deal with procedures under the legislation.

6. RISK IMPLICATIONS

- 6.1 There will be risks linked with
- Challenges on nominations / exemptions
 - Compensation arrangement
 - Enforcement
 - Effects on the Council's Asset Management Strategy, particularly the disposal of assets – time delays / impact on receipts programme.
 - Potential administrative burden
- 6.2 Impact on the Council may be summarised as follows:-
- There will be a burden on the Council in administering the scheme with implications for legal and estates management teams in terms of both private

land and land owned by the Council which may be on the list of assets of community value.

- There is a possibility that the nomination of land or property owned by the Council could be used to thwart otherwise agreed arrangements for disposal of land or asset.
- The new right could be used in conjunction with the Community Right to Challenge whereby an expression of interest in running a service runs in tandem to a request to list an asset as being of community value, from which a service could be delivered.
- The Council will need to pay any compensation payments below £20,000. The Government has committed to meet compensation payments over £20,000 in a financial year. This could occur through a Local Authority paying out over £20,000 in one financial year either on one large claim or as a combined total on a number of smaller claims. However a number of small claims below the £20,000 threshold will fall directly onto local Councils and could create a significant new financial burden just as budgets are being squeezed.
- There is also the prospect of the Council becoming embroiled in disputes between community groups and land owners whilst following a new procedural approach that rigidly defines what a Local Authority must do. It is also a concern that the procedure may be open to abuse in order to gain compensation payments. The Council will need to be mindful of having effective processes in place to safeguard against such actions, which may, in any event, be difficult to prove.
- The process driven approach may also hinder democratic decision making whereby elected members, acting in the interest of a much wider electorate, that their decisions on local services fettered by a much smaller representation of local interests. It is also possible that landowners may feel disadvantaged by having their property placed on a list, and possibly subject to a moratorium on sale.

7. FINANCIAL CONSIDERATIONS

- 7.1 In considering the risks above there may be additional costs to the Council of administering the legislation, although this is difficult to ascertain at this stage. In addition there may be effects on the capital receipts received and the timing in relation to Council assets.

8. LEGAL CONSIDERATIONS

- 8.1 Robust procedures will need to be put in place to deal with the requirements of the legislation.

9. STAFF CONSIDERATIONS

- 9.1 There are no issues in respect to staff.

10. ASSET MANAGEMENT CONSIDERATIONS

- 10.1 The attention of the portfolio Holder is drawn to the Asset Management element of the Business Transformation Programme. The decision by Cabinet in January 2009 requires a commercial, proactive approach to be taken on Asset Management issues.
- 10.2 The decision to adopt a commercial approach to asset management requires the Council to realise the full value of any properties or property rights that it disposes of.
- 10.3 The legislation may have an effect on our disposal strategy as mentioned in 6.1 above.

11. SECTION 17 OF THE CRIME AND DISORDER ACT 1998 CONSIDERATIONS

- 11.1 When any asset is under consideration Community Safety issues will be addressed.

12. EQUALITY AND DIVERSITY CONSIDERATIONS

- 12.1 Nominations and the procedures to handle them will need to be open and transparent.

13. RECOMMENDATIONS

- 13.1 That Cabinet note the report and comment as necessary.
- 13.2 That Cabinet give approval for the Director of Regeneration and Neighborhoods and the Chief Solicitor to put procedures in place to receive and deal with nominations, compensation and enforcement and to maintain the list thereafter.
- 13.3 That Cabinet agree for the Finance and Corporate Services Portfolio Holder to deal with procedures under the legislation.

14. REASONS FOR RECOMMENDATIONS

- 14.1 To enable the legislation to be addressed.

15. APPENDICES AVAILABLE ON REQUEST, IN THE MEMBERS LIBRARY AND ON-LINE

15.1 There are no appendices.

16. BACKGROUND PAPERS

16.1 Cabinet Report of 6th August 2012 on Localism Act 2011 - Latest Position

17 CONTACT OFFICER

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CABINET REPORT

7th January 2013



Report of: Director of Regeneration and Neighbourhoods

Subject: DEPARTMENT FOR WORK AND PENSIONS (DWP)
FLEXIBLE SUPPORT FUND (FSF)

1. TYPE OF DECISION/APPLICABLE CATEGORY

Non Key

2. PURPOSE OF REPORT

- 2.1 To update Cabinet on the progress and performance of the Flexible Support Fund (FSF) for Hartlepool and Tees Valley.

3. BACKGROUND

- 3.1 Cabinet approved on the 21 May 2012 that Hartlepool Borough Council (HBC) be the lead accountable body for the delivery of the FSF employment project on behalf of all five Tees Valley Local Authorities (LA's).
- 3.2 The project would be delivered between April 2012 and March 2013 although the full Grant Offer Letter from DWP was not received until May 2012. However, retrospective activity and outcomes could be claimed. 2013. There may be a possibility of an extension to the project if DWP do not utilise the Flexibe Fund allocated to the Tees Valley district for other employment projects.
- 3.3 The Hartlepool and Tees Valley FSF grant offer was the first to be issued nationally by DWP.
- 3.4 The agreed delivery criteria for the FSF project are:
- £500,000 of FSF grant approved to support up-skilling, training and employer subsidy for pre work programme eligible customers.
 - 400 pre work programme customers (day one registered unemployed up to 6 months unemployed) to enter into employment or employed status , of which 80% will be 18-24 years. The five local authority

Economic Regeneration Teams are the delivery partners.

- HBC will deliver a fifth of the minimum outcomes required and also support Middlesbrough Borough Council with contractual and financial management of their grant allocation.
- A Contract Officer employed by Hartlepool for the duration of the project will deliver the Hartlepool outcomes; 80 pre work programme customers from the job seekers allowance or employment support allowance claimant register into employment; 100 business engaged to create employment or apprentice opportunities; two HR workshops and two self employment workshops within the delivery period to engage business and potential new business start up.
- HBCI as lead accountable body to manage the income and expenditure of the grant and provide monthly reports and claim forms to DWP.

4. CURRENT PERFORMANCE

- 4.1 The project is delivering against profile and the attached table;
Appendix 1 :Accumulative Job profiles Oct 12 indicates individual and overall performance up to October 2012.
- 4.2 Between April and October 2012, 306 eligible customers were engaged on the project with 114 employed as a result of the up skilling grant use; of this 25 apprenticeships were created.
- 4.3 Total income received from DWP to date is £291,662 for all five LA's, with HBC income element including the Contract Officer salary costs and coordination fee of £78,329.

5. FINANCIAL CONSIDERATIONS

- 5.1 FSF is a grant award and as such any under-spend of the DWP allocation will be paid back.
- 5.2 Should the Council fail to evidence at audit any amounts which were not spent for eligible purposes, the grant recipient must repay this amount within 30 days of the issue of an invoice from DWP.

6. LEGAL CONSIDERATIONS

- 6.1 Council's Legal Team has confirmed that the obligations under the Contract do not appear to be excessively onerous on the Council.

7. EQUALITY AND DIVERSITY CONSIDERATIONS

- 7.1 The project is aimed at supporting pre work programme customers in Hartlepool and across the Tees Valley to enter into employment through the employer engagement of the project and utilising the bespoke up skilling grant.
- 7.2 The project supports and adds value to other Council managed projects, such as Familywise, Going Forward, Connect to Work, Waverly Apprentices and the employment of Leaving Authority Care clients.

8. STAFF CONSIDERATIONS

- 8.1 A new Contract Officer post is within the delivery structure of the Tees Valley wide FSF project. This post is fully funded through the FSF grant.
- 8.2 Hartlepool Borough Council is the employer and manage the post holder on behalf of the partnership

9. SECTION 17

- 9.1 This project contributes to Section 17 by providing access to employment routeways for young people and those severely disadvantaged in the labour market, such as Families with multiple and complex needs, offenders etc.,

10. IMPACT CHILD / FAMILY POVERTY

- 10.1 The project will positively contribute to and increase the number of jobs in the local economy providing more employment opportunities for local residents to gain meaningful, and skilled employment.

11. RECOMMENDATIONS

- 11.1 The report is for information purposes only.

12. APPENDICIES AVAILABLE ON REQUEST, IN THE MEMBERS LIBRARY AND ONLINE

- 12.1 None

13. BACKGROUND PAPERS

- 13.1 None

14. CONTACT OFFICER

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CABINET REPORT

7th January 2013



Report of: Director of Regeneration and Neighbourhoods

Subject: TEES VALLEY ENTERPRISE ZONE –HARTLEPOOL
PROGRESS UPDATE

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Non Key.

2. PURPOSE OF REPORT

2.1 To update Cabinet on the progress of Hartlepool's Enterprise Zones.

3. BACKGROUND

3.1 Cabinet was advised on the 6.6.11 of the opportunity to create an Enterprise Zone in the Tees Valley and a report submitted to Cabinet on the 10.10.11 advised that the Government approved the Tees Valley submission and Hartlepool had achieved over 30% of the Tees Valley land allocation. The Government has clearly stated that deliverability to 2015 in terms of private sector investment and job creation is an essential feature of approved sites.

3.2 Two types of Enterprise Zone have been approved in Hartlepool and details are described below;

Capital Allowance Site – Port Estates

- Site area of 120 ha.
- Advance engineering and low carbon sector focus particularly aimed at offshore wind opportunities.
- Long term potential to create 1,800 jobs. In addition significant off site supplier chain investment may create another 1,000 jobs.
- 100% capital allowance for plant and equipment investment.
- Simplified planning regime governed by Local Development Order[LDO]
- Implementation of super fast broadband

Business Rates Discount Site – Queens Meadow

- Site area of 8 ha.
- Advance engineering, fine chemicals, medical and new business start ups.

- Long term potential to create 1,860 jobs on site.
- Business rate discount of up to £55,000 pa for 5 years with maximum allowance of £275k per business.
- Simplified planning regime governed by [LDO]
- Implementation of super fast broadband

3.3 In addition Oakesway Business Park, which comprises around 14.16 ha has been identified as a key supplier chain site to the Port Estates and will in the longer term receive investment from the LEP generated from Enterprise Zone business rate income to stimulate private sector investment and job creation.

4. CURRENT POSITION

4.1 Hartlepool has delivered the first 2 Enterprise Zone projects in Tees Valley, Omega and Propipe and a third Hartlepool project, Durable Technologies has now been delivered. In addition we are currently processing an application for the fourth project in Hartlepool. The businesses benefit from non domestic rate relief and the details are noted below;

- Omega Plastics – Queens Meadow, 10,000 sq ft.
The company is based in Blyth and has undertaken a major expansion project manufacturing high quality plastic molding and customers include Aston Martin, McLaren Mercedes and Unilever. The project will generate around £800K of private sector investment and create a minimum of 21 new jobs.
- Propipe – Queens Meadow, 17,000 sq ft.
The company started up in Hartlepool in 1998 manufacturing pipe line investigatory equipment and export product all over the world. The company has expanded from its original factory at Park View and will invest at least £700k and create around 24 new jobs. Propipe is already contemplating further expansion.
- Durable Technologies – Innovation Centre, Queens Meadow, 2,400 sq ft.
The company started up in Hartlepool in 2007 and occupied 600 sq ft in the Innovation Centre. The company design and manufacture innovative energy saving lighting control products and clients include Balfour Beatty and the company currently export 15% of its products. The company currently employ 4 staff and will create a further 9 jobs.

4.2 A new project is being dealt with at present which will create 8 new skilled jobs in the process industry supply chain and the company will occupy 2,012 sq ft in the Innovation Centre at Queens Meadow.

4.3 Whilst the Port area has yet to secure a long term offshore wind project some progress has been made with all the Siemens wind turbines for the EDF Redcar offshore wind farm being shipped through Hartlepool Port. In addition a long term facility for maintenance will be established at the Port and the project will create 12 new jobs. The project will help to raise awareness in the

market place of the opportunities the Port and Hartlepool can offer to turbine manufacturers. In addition a planning application has been received from Wasco to develop a pipe coating facility supplying overseas energy markets. Whilst exact details on investment and job creation are to be finalised, it is estimated that around 50 new jobs will be created.

5. RISK IMPLICATIONS

- 5.1 The key risks associated with the Enterprise Zones is related to timescales in delivery projects prior to 2015 and this is particularly pertinent given the current position of the national and local economy. Cabinet will be aware of the City Deal Initiative and it possible that one of the “asks” will be extending the life of the Enterprise Zones, however this will be subject to future discussions.

6. FINANCIAL CONSIDERATIONS

- 6.1 There are no financial considerations.

7. STAFF CONSIDERATIONS

- 7.1 There are no staffing considerations.

8. IMPACT ON CHILD / FAMILY POVERTY

- 8.1 The creation of new jobs both directly and in the supplier chain will increase the overall number of jobs in the local economy providing more employment opportunities for local residents to gain meaningful employment.

9. SECTION 17 OF THE CRIME AND DISORDER ACT 1998 CONSIDERATIONS

- 9.1 All developments at Queens Meadow have been compliant with Section 17.

10. EQUALITY AND DIVERSITY CONSIDERATIONS

- 10.1 The Council has worked with all businesses on recruitment and has ensured that vacancies are promoted locally to residents and has also negotiated apprentice opportunities for young people.

11. RECOMMENDATIONS

- 11.1 That the report be noted for information.

12. CONTACT OFFICER

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CABINET REPORT

7th January 2013



Report of: Director of Regeneration and Neighbourhoods

Subject: THINK FAMILY/THINK COMMUNITIES PLAN
(TROUBLED FAMILIES PROGRAMME) UPDATE

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Non-Key Decision

2. PURPOSE OF REPORT

2.1 To provide Cabinet with a progress update in relation to the delivery of the *Think Family/Think Communities Plan* (Troubled Families Programme).

3. BACKGROUND

- 3.1 In December 2011 the Government announced £448m over the next three years to turn around the lives of 120,000 troubled families nationally. Typically these families were said to have multiple and complex problems that were being transmitted from one generation to another because families often lacked the skills to overcome the problems facing them, or the motivation or capacity to get the support they needed.
- 3.2 On average it was estimated that each of these families were costing the public purse £320,000 annually and that in order to turn the lives of these families around services needed to deliver a holistic 'whole family' approach that would improve outcomes for both families and communities and yield efficiencies longer term.
- 3.3 Following the Government's announcement in December 2011 a local *Think Family/Think Communities Plan* was developed setting out Hartlepool's ambition to offer joined up holistic services to families/households with complex needs. The plan builds on existing initiatives and strategies including the Early Intervention Strategy, the ESF Family Wise Programme, and the Team Around the Household Initiative. The plan was approved by Cabinet in May 2012 and includes a commitment to working with 290 families within Hartlepool over the lifetime of the three year programme.

- 3.4 The Safer Hartlepool Partnership (SHP) is the locally agreed body responsible for delivery of the *Think Family / Think Communities Plan*. This report sets out the progress made to date by the Partnership in identifying families; details on how the programme will be scaled up over the next 3 years; and the agreed delivery model that has been adopted by the Safer Hartlepool Partnership, drawing on national best practice, and the local evaluation of the *Team Around the Household Initiative (TAH)* conducted during September and October of this year.

4. IDENTIFICATION OF TROUBLED FAMILIES

- 4.1 Through the *Think Family/Think Communities Plan* Hartlepool has committed to working with 290 'Troubled Families' over a three year period, it originally being anticipated that a third of these families (97) would be worked with in year one.

DCLG guidance in relation to the definition of a family is to adopt the definition of 'household' as currently used in the census i.e. 'a group of people who either share living accommodation, or share one meal a day and who have the address as their only or main residence'.

- 4.2 Troubled Families are Households who:

- Are involved in crime and anti-social behaviour
- Have children not in school
- Have an adult on out of work benefits
- Cause high cost to the public purse

- 4.3 The criteria for identifying the families to be targeted therefore reflect these issues. Troubled Families are those that have two or more of the risk factors in the box below, or, two of the risk factors in the box plus either a health or high cost issue – as determined locally.

Risk Factors
Non attendance School Exclusion ASB Youth Crime Worklessness

OR 2+ Health or High Cost

- 4.4 The identification of families locally has necessarily involved the exchange and matching of information from a number of data sources including Police data, School Attendance data, and data from the Department of Work and Pensions.
- 4.5 To date 50 families have been identified that meet the DCLG criteria and a further 312 families have been identified for potential inclusion in the programme.

5. SCALING UP THE PROGRAMME TO MEET DEMAND

- 5.1 Assessment of Need

To assist in determining the likely demands of the Troubled Families programme an analysis of need has been undertaken in relation to the first 50 families identified. This analysis has involved the adoption of a *triage approach* with families being divided into high, medium, and low in terms of the intensity of the interventions needed.

In this respect Table 1 attached at **Appendix 1**, outlines the projected timeline and monthly targets in relation to the number of households involved as we move forward with the programme, and Table 2, outlines the projected number of households/families falling within each category of need over the three year period.

Whilst this is not an exact science, Table 2 identifies that during the lifetime of the Troubled Families Programme there will be an estimated 29 households with high end needs requiring intensive intervention (10%), 145 households with medium needs and therefore less intensive intervention, and 116 low need households requiring light intervention. The greatest demands in terms of the number of households worked with will be in year 2 of the 3 year programme.

It is worthy of note that many of the families/households identified to participate in the programme using the DCLG criteria will already be known to local services and benefiting from a multi-agency approach. Thus for example, out of the first 50 families identified, 23 of those families were already involved with Childrens Services through existing service provision, including those services provided through the Early Intervention Strategy.

5.2 The Triage Model

Working with Troubled Families, as advocated by Government, and the *Think Family/Think Communities Plan* necessarily involves 'named workers for named families' to ensure a 'grip' on the family and the supply of the intensity of support needed depending upon the complexity of the issues faced by the family in question. As such the *Think Family/Think Communities Plan* incorporates a '*support worker/ lead practitioner model so that families/households have a consistent relationship with an individual who will work with them and other agencies to co-ordinate assessments and provide support that is timely and effective*'.

Nationally, the family worker triage model in Figure 1 is advocated as a way of providing the requisite support, where needed, in a manageable way. The model is based upon the good practice evidenced in the previous Government's Family Intervention Programmes, and remains consistent with the continuum of need and configuration of local services outlined in the *Think Family/Think Communities Plan*, (extracted from the Early Intervention Strategy). Superimposed upon the Continuum of Need in Figure 2 are the projected local Troubled Families by percentage numbers falling within each sector of the windscreen.

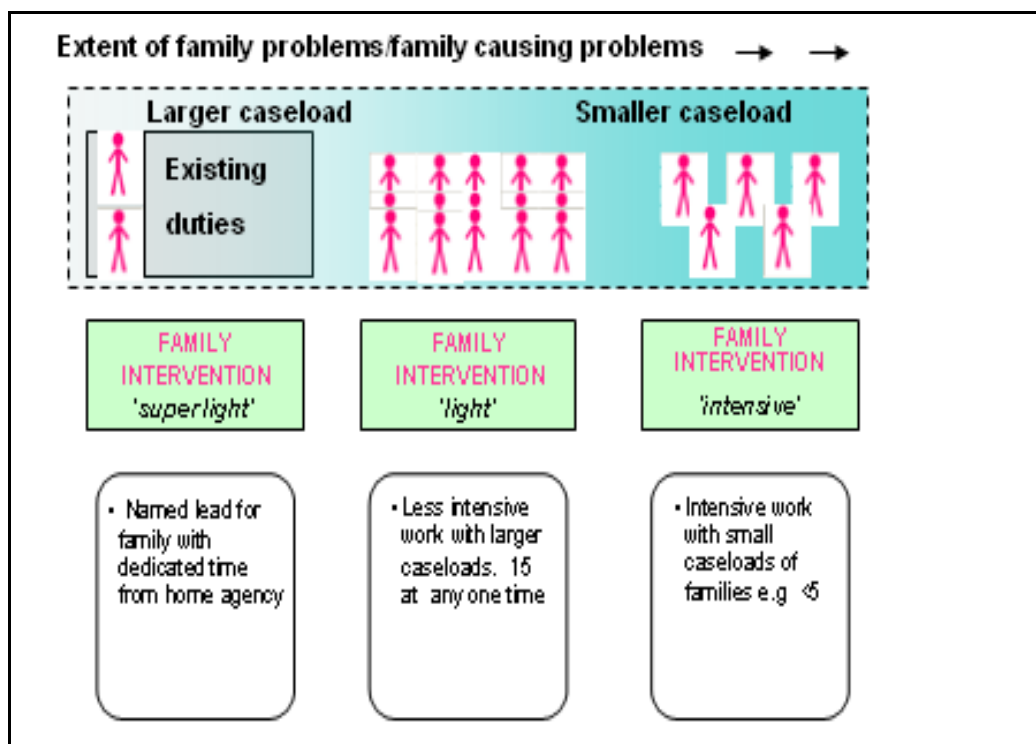


Figure 1: Family Intervention based upon need

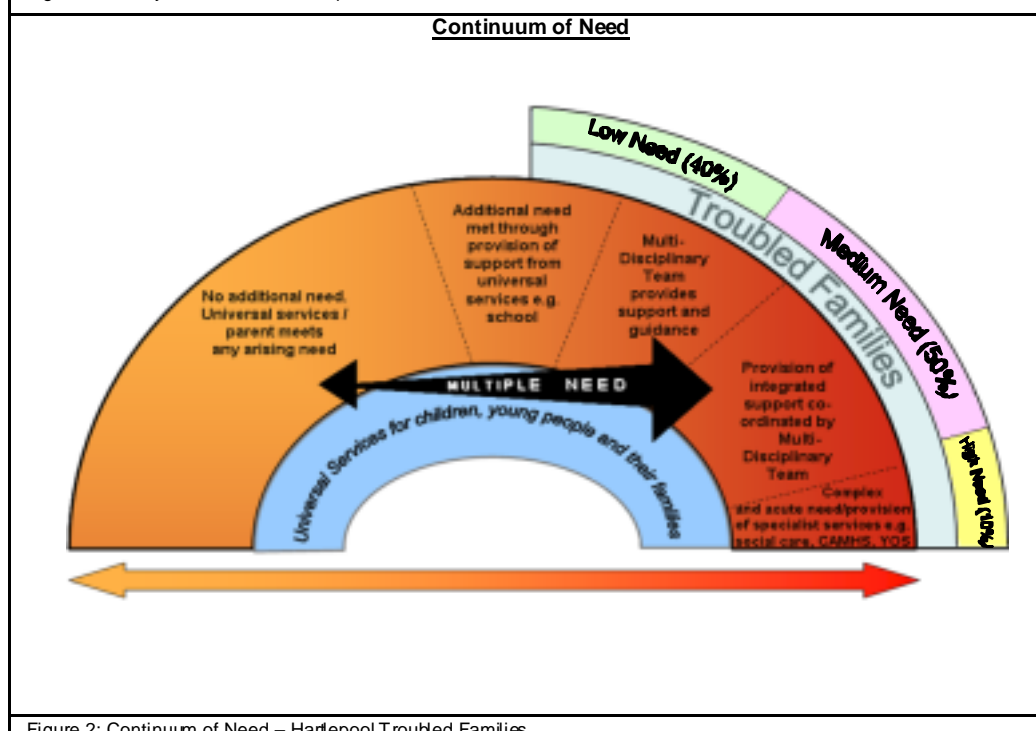


Figure 2: Continuum of Need – Hartlepool Troubled Families

On the basis of the family *triage model* a further analysis has been undertaken to identify the likely number of support workers needed for the number of families/households involved in the programme. Thus Table 1, 2, 3 attached at **Appendix 1** matches Hartlepool's projected number of households, ranked according to triage level, with the likely number of support workers. In summary this identifies the following numbers of support workers required over the three year period:

Triage Level	Projected Number of Families/Households	Projected Number of Workers
High	29	3
Medium	132	5
Low	110	Home Agency - No additional resource
Total	290	8

6. THE LOCAL DELIVERY MODEL

6.1 The requirement for additional workers to provide support for families/household participating in the Troubled Families Programme was recognised and supported by the Safer Hartlepool Executive at their meeting in November, and, in light of the additional emphasis on enforcement/sanctions the Partnership also supported the recruitment of an additional ASB Officer.

6.2 The Local Triage Model

Level One - High End Support

The TAH evaluation recommended merging TAH with the Troubled Families Programme. As such current TAH households have been included in the indicative numbers outlined above (ie 7 of the 29 families are current TAH families) alongside those identified in the first cohort, and the numbers are likely to escalate to this level over the three year period.

Analysis of these high need families reveals that whilst they exhibit many of the complex issues faced by Troubled Families, similar to TAH families, they are typically prolific in terms of their anti-social behaviour/criminality, have a negative impact on communities around them, and are a high cost to the public purse.

Given the demands on this end of the programme, and consistent with the TAH evaluation recommendations, the SHP agreed that these households should continue to operate with a Lead Practitioner responsible for co-ordinating individual household action plans and services.

Within this model, and given the level of intensity required, Lead Practitioners will normally only be responsible for leading on one TAH. However in order to acknowledge the drain on already overstretched resources, the need to retain the expertise of the Lead Practitioner, and to continue to develop leadership in the TAH process, the SHP agreed that the Lead Practitioner role be supported by a worker who would have no more than 5 households at any one time.

The attached profile explains that this would be manageable with the recruitment of three Support Workers given the number of families/households likely to be involved with high end families at any one time. The Support Workers at this level will be multi-agency workers that will work on behalf of the Lead Practitioner and TAH regardless of which agency the Lead Practitioner comes from. This remains consistent with the TAH approach and the expectations of the *Think Family/Think Community Plan* community budget area initiative that we would improve

partnership working on an area basis leading to a change in the way services are delivered for the benefit of the broader community.

Given their high impact on communities, Support Workers working with families/households falling within Level One will be based within the Council's Neighbourhood Management (Community Safety) Team. This will ensure that the workers benefit from the broader skills, expertise, and knowledge of partnership working at a neighbourhood level and the learning from the TAH to date. The TAH Co-ordinator, who also has overall responsibility for performance monitoring of the *Think Family/Think Communities Plan (Troubled Families Programme)*, will support and direct the Support Workers on a daily basis, and as with the rest of the programme assist with removal of barriers, ensuring that the right services are around the table, and ensuring any learning, or gaps in services are reported to the SHP Executive as recommended in the evaluation.

In relation to neighbourhood working, households falling within this level will be given a high priority by the Neighbourhood Policing Teams and the local Joint Action Groups.

Level Two - Medium Support Needs

Families falling within this level of need will be supported by a merger of the Lead Practitioner/ Support Worker role similar to the Family Worker role currently operating within Childrens Services. This will involve the co-ordination of the action plan, the services needed to bring about change, multi-agency meetings, and the provision of a key link with the family via regular visits to the household.

There are an indicative number of 145 households falling within this level of need and with a proposed case load of 15 at any one time; 4 - 5 Family Workers would be required. 'Family Workers' will operate as a 'virtual team' linked to localities with their caseloads being managed by the Head of Family and Resource Services within the Childrens Services Division.

Level Three - Low Need

As indicated above there is not a need for any additional resource at this level, as the programme would draw upon existing services. The home agency would receive the referral and a one-off meeting/ action/ intervention would be required to move the family/household on.

Attached at **Appendix 2a and 2b** are the projected case loads and staffing requirements over the three year period.

Qualitative Monitoring - Family Review Officer Role

In addition to the recruitment of support workers and an additional ASB officer, the Safer Hartlepool Partnership have also identified the need for qualitative monitoring/ Family Review Officer, who, on a case by case basis, will be critical to analysing information available on the family/household to inform action plans, and at key milestones fulfill a critical friend role on evaluating changes within the

family. The learning and good practice emanating from this process will be disseminated throughout the workforce to ensure lasting change in the way services are delivered to complex households/families.

6.4 Performance Management

Monitoring in relation to numbers of families engaged, outcomes achieved, returns to DCLG/Budget Reports, financial claims, the identification of barriers/trends and gaps will be undertaken by the Community Safety Team on behalf of the Troubled Families Co-ordinator. This will ensure appropriate reporting to both the Families and Communities Board and the Safer Hartlepool Executive.

The operational Think Family, Think Communities model is attached at **Appendix 3**.

The Team around the Family/Household Process is attached at *Appendix 4*.

6.5 Financing the Model

The Troubled Families payment by results model makes funding available for 5 out of every 6 families involved in the programme. Thus out of the 290 families that Hartlepool has agreed to work with, payment can be claimed for 242 of those families over the next 3 years with up to £4,000 potentially being available for each family involved in the programme.

To assist with costs associated with restructuring services, taking on new staff or commissioning services in the early years a percentage of the £4,000 is payable for each family upfront as an attachment fee with 80% being available in year one; 60% in year 2; and 40% in year 3; with the remainder being paid once positive outcomes have been achieved ie parents have moved into work, children are attending school, there has been reduced crime and anti-social behaviour.

On this basis the following table (also attached at **Appendix 5**) calculates the financial profile for the Troubled Families Programme over the three year period with options 1, 2, 3 and 4 assuming different levels of success in relation to the ability to claim results payments as follows:

Think Family, Think Communities Programme	Families		Attachment Fee		Result Payments			
	Total number of Families to be worked with	Payment-by-results (PBR) eligible Families	PBR per Family	Attachment Fee Total	Option 1 (Results not achieved)	Option 2 (25% Success Rate)	Option 3 (50% Success Rate)	Option 4 (75% Success Rate)
Year 1 (April 2012 - March 2013)	97	81	£3,200	£259,200	£0	£16,200	£32,400	£48,600
Year 2 (April 2013 - March 2014)	132	110	£2,400	£264,000	£0	£44,000	£88,000	£132,000
Year 3 (April 2014 - March 2015)	61	51	£1,600	£81,600	£0	£30,600	£61,200	£91,800
Total	290	242		£604,800	£0	£90,800	£181,600	£272,400

The costs in relation to the employment of the staff outlined in the above model for a 27 month period beginning January 2013 (7 support workers, 1 ASB Officer, 1

Independent Review Officer) have been calculated. Based on the attachment fee alone it is estimated that the costs of recruiting these additional staff would be well within budget with some surplus to assist with workforce development, personalised budgets, and specialist support.

Overview	
Total Attachment Fee (3 years)	£604,800
Total Salary Payment (27 months)	£558,425
Balance (Personalised Budgets/Specialist Support/Workforce Development?)	£46,375

Attached at **Appendix 6** is a graph identifying how the programme will be scaled up including the periodic dates at which the payment by results money will come in based upon a 50% success rate on delivering outcomes.

6.6 Restorative Practice - Underlying Philosophy of Delivery

The SHP has identified that successful delivery of the *Think Family/Think Communities Plan* is crucially dependant upon the need to overcome the inherent tensions presented by the different organisational cultures of partners involved in delivery of the Plan. The Partnership has therefore adopted a unifying restorative approach to service delivery to provide consistency in the way all agencies work with families/households.

This approach is largely based on the 'social discipline window' – a matrix which enables practitioners to consider which behaviours are likely to be effective in bringing about change. The approach recognises that the degree to which we are successful is very much dependant upon the effort that is put into engagement, and provides the context for individuals and families to take responsibility. This involves working WITH families/households, rather than doing it FOR families/households, or doing it TO them, thereby creating a culture of empowerment rather than dependency. As such the process is inclusive, participative, and transformative, with responsibility, challenge and support, being key features in moving families/households forward and allowing reintegration.

The SHP has approved funding to embed restorative practice in Hartlepool. This funding will be used to commission an external provider to deliver a bespoke restorative package for Hartlepool around the *Think Family/Think Communities Plan* that would be included as part of the Council's Workforce Development Plan and enable practitioners to advance to Level 3 of the restorative practice training – 'family group conferencing'. Recruiting an external provider will also ensure that the approach is rolled out at a pace that is required to meet the needs of those involved in delivering the *Think Family/Think Communities Plan*.

In taking this approach forward it is crucial that all partners are engaged and have a shared understanding of the approach, and a clear vision for the future with clear steps of how to get there. Key values sitting behind the restorative approach need to be developed and made explicit in order for it to be effective.

7. CONCLUSION

- 7.1 The demands of the *Think Family/Think Communities Plan* (Troubled Families Programme), necessitates a well thought out and planned approach to delivery if Hartlepool is to achieve its commitment to turning around the lives of 290 Troubled Families.
- 7.2 The model outlined involves a triage approach. It combines dedicated support workers for families as envisaged in the *Think Family/Think Communities Plan*, and the process is underpinned by a unifying restorative approach to service delivery with additional capacity built in to ensure the enforcement and sanctions aspect of the programme are met.
- 7.3 The provision of a Family Review Officer to assist in the assessment, planning, and evaluation of interventions will ensure the learning from the programme is captured and disseminated and continues to evolve as we move forward through the programme.
- 7.4 Progress updates in relation to programme performance will ensure the SHP and Cabinet is fully appraised on progress. This will include numbers engaged, results claimed, interventions known to be working (successes), and efficiency savings.

8. RECOMMENDATION

- 8.1 It is recommended that Cabinet note the contents of the report, and comment on the progress made to date on the development of the *Think Family/Think Communities Plan* (Troubled Families Programme).

9. REASONS FOR RECOMMENDATIONS

- 9.1 Cabinet approved the Think Family/Think Communities Plan in May 2012. The report provides Cabinet with a progress update and an opportunity to consider and comment on progress to date.

10. APPENDICES AVAILABLE ON REQUEST, IN THE MEMBERS LIBRARY AND ON-LINE

- 10.1 Appendix 1 – Troubled Families Programme projected timeline/monthly targets
- 10.2 Appendix 2a & 2b – Projected caseloads/staffing requirements
- 10.3 Appendix 3 – Think Family/Think Communities Delivery Model
- 10.4 Appendix 4 – Team Around the Family/Household Process
- 10.5 Appendix 5 – Troubled Families Financial Profile

11. BACKGROUND PAPERS

- 11.1 Think Family/Think Communities Plan in May 2012

12. CONTACT OFFICER

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Think Family, Think Communities Programme

Table 1: Think Family, Think Communities – Timeline Projection

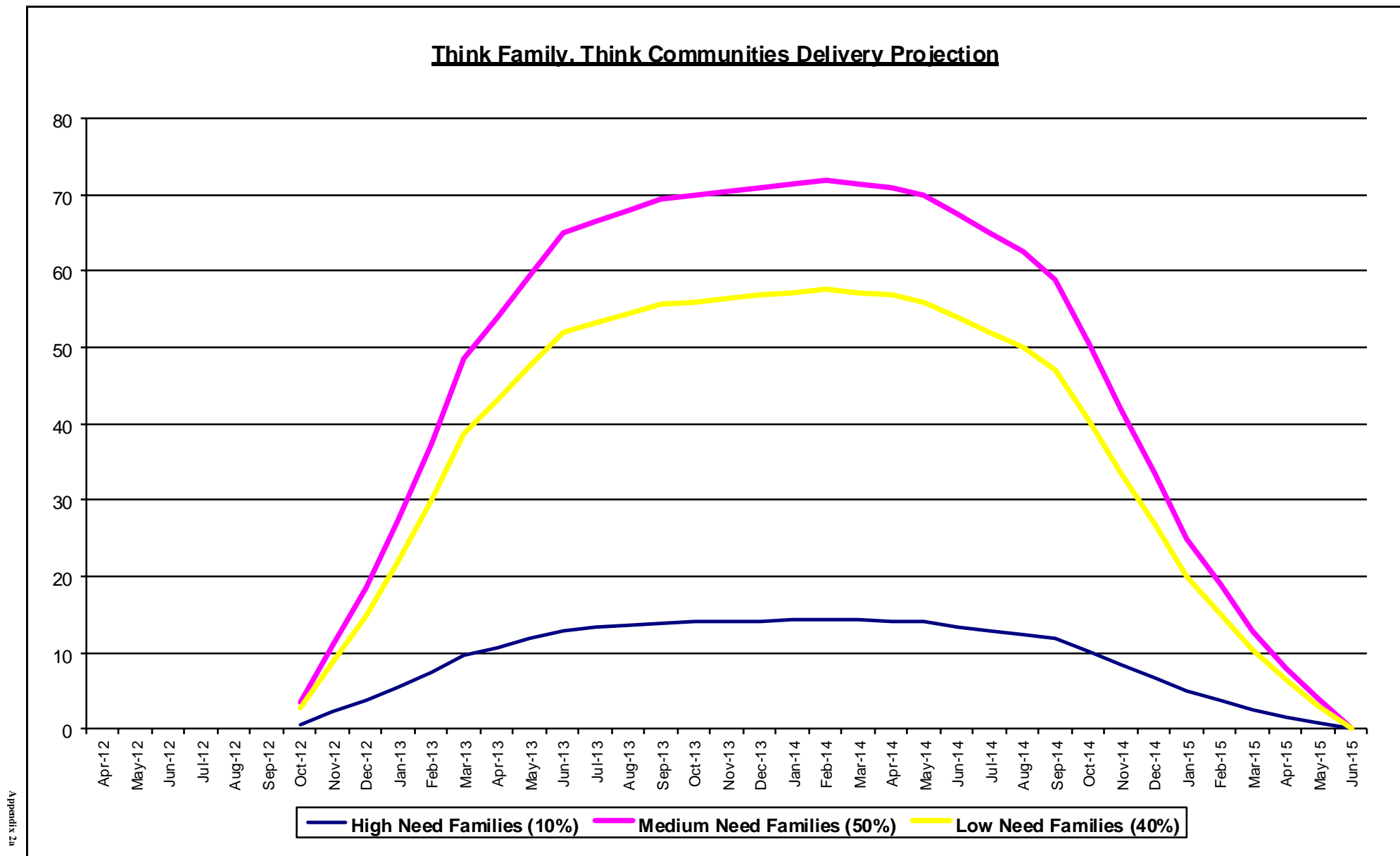
	YEAR 1												YEAR 2												YEAR 3																		
Month	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39				
	Apr-12	May-12	Jun-12	Jul-12	Aug-12	Sep-12	Oct-12	Nov-12	Dec-12	Jan-13	Feb-13	Mar-13	Apr-13	May-13	Jun-13	Jul-13	Aug-13	Sep-13	Oct-13	Nov-13	Dec-13	Jan-14	Feb-14	Mar-14	Apr-14	May-14	Jun-14	Jul-14	Aug-14	Sep-14	Oct-14	Nov-14	Dec-14	Jan-15	Feb-15	Mar-15	Apr-15	May-15	Jun-15				
New Families Engaged	0	0	0	0	0	0	7	15	15	18	20	22	11	11	11	11	11	11	11	11	11	11	11	11	11	10	10	10	10	10	17	0	0	0	0	0	0	0	0	0			
Family Result																8	8	8	10	10	10	10	12	12	15	15	15	17	17	17	17	17	12	12	10	8	8						
Total Number of Families							7	22	37	55	75	97	108	119	130	141	152	163	174	185	196	207	218	229	240	250	260	270	280	290													
Projected Caseload							7	22	37	55	75	97	108	119	130	133	136	139	140	141	142	143	144	143	142	140	135	130	125	118	101	84	67	50	38	26	16	8	0				
Attachment Fee Payment																																											
Result Claim Opportunity																																											

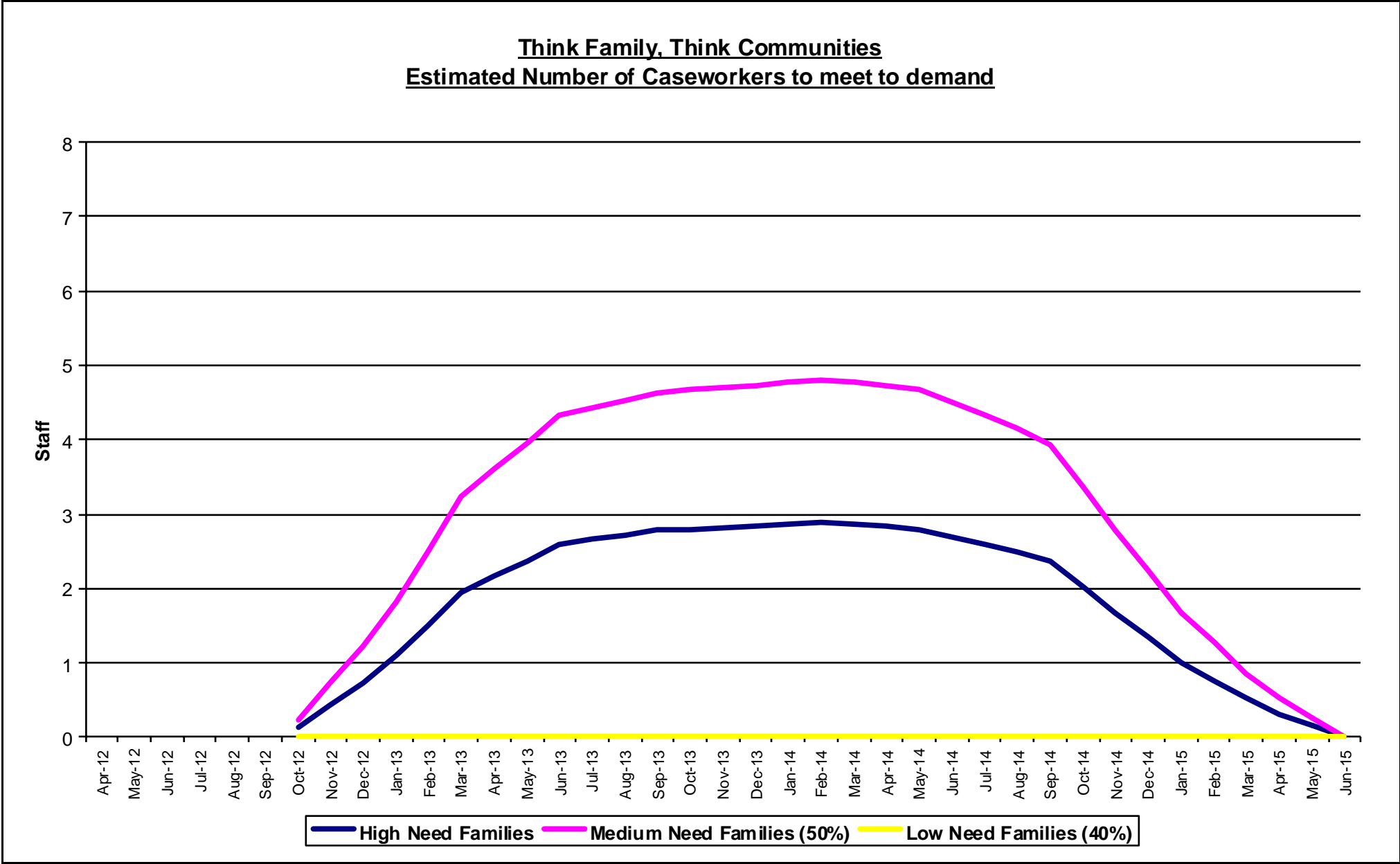
Table 2: Think Family, Think Communities – Category of Need

Triage Status	YEAR 1												YEAR 2												YEAR 3															
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	
	Apr-12	May-12	Jun-12	Jul-12	Aug-12	Sep-12	Oct-12	Nov-12	Dec-12	Jan-13	Feb-13	Mar-13	Apr-13	May-13	Jun-13	Jul-13	Aug-13	Sep-13	Oct-13	Nov-13	Dec-13	Jan-14	Feb-14	Mar-14	Apr-14	May-14	Jun-14	Jul-14	Aug-14	Sep-14	Oct-14	Nov-14	Dec-14	Jan-15	Feb-15	Mar-15	Apr-15	May-15	Jun-15	
High Need Families (10%)							1	2	4	6	8	10	11	12	13	13	14	14	14	14	14	14	14	14	14	14	14	14	13	13	12	10	8	7	5	4	3	2	1	0
Medium Need Families (50%)							3.5	11	18.5	27.5	37.5	48.5	54	59.5	65	66.5	68	69.5	70	70.5	71	71.5	72	71.5	71	70	67.5	65	62.5	59	50.5	42	33.5	25	19	13	8	4	0	
Low Need Families (40%)							3	9	15	22	30	39	43	48	52	53	54	56	56	56	57	57	58	57	57	56	54	52	50	47	40	34	27	20	15	10	6	3	0	
Projected Caseload	0	0	0	0	0	0	7	22	37	55	75	97	108	119	130	133	136	139	140	141	142	143	144	143	142	140	135	130	125	118	101	84	67	50	38	26	16	8	0	

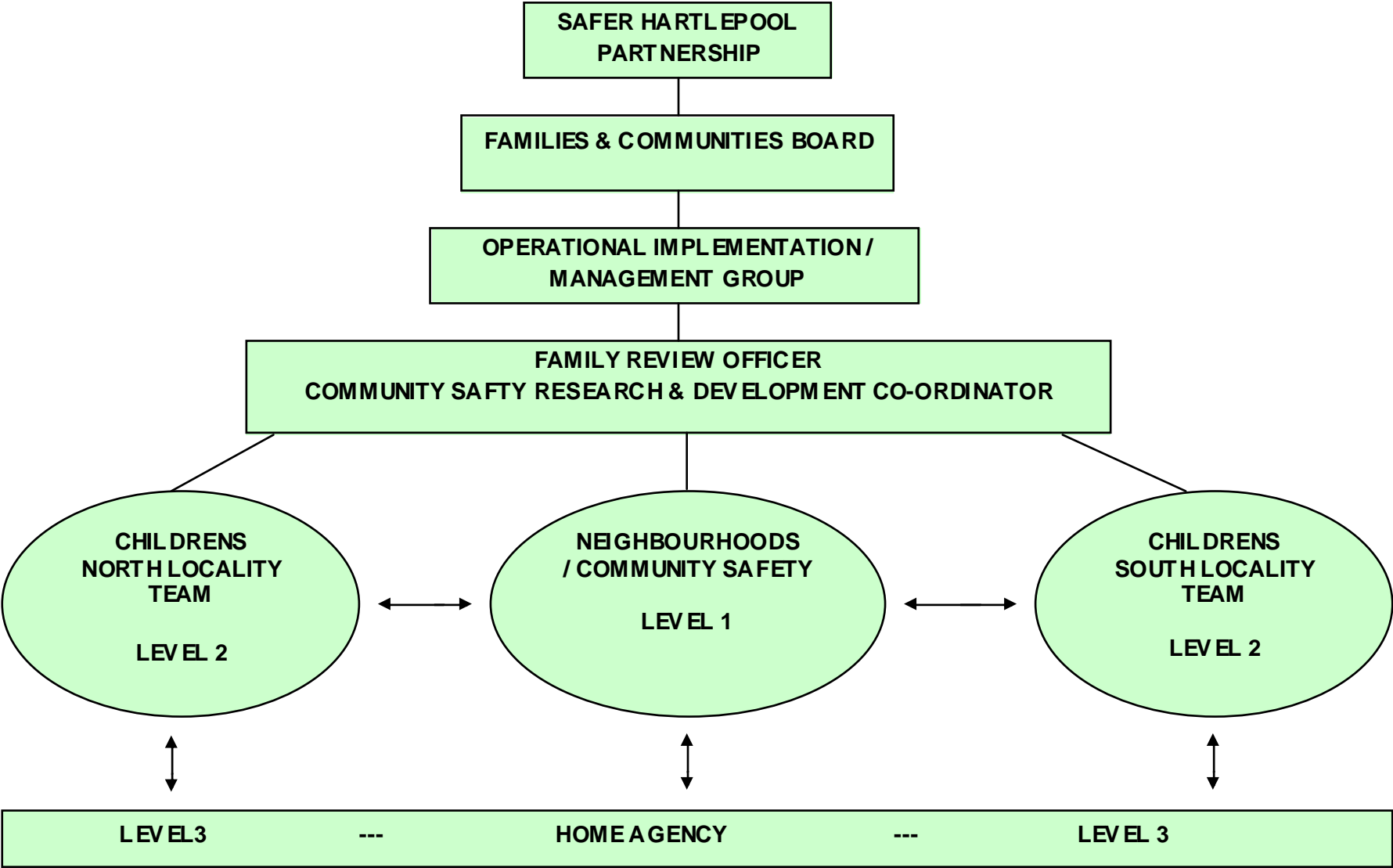
Table 3: Think Family, Think Communities – Estimated Resource based upon worker/case ratio

Estimated Worker Numbers	YEAR 1												YEAR 2												YEAR 3														
	1 Apr-12	2 May-12	3 Jun-12	4 Jul-12	5 Aug-12	6 Sep-12	7 Oct-12	8 Nov-12	9 Dec-12	10 Jan-13	11 Feb-13	12 Mar-13	13 Apr-13	14 May-13	15 Jun-13	16 Jul-13	17 Aug-13	18 Sep-13	19 Oct-13	20 Nov-13	21 Dec-13	22 Jan-14	23 Feb-14	24 Mar-14	25 Apr-14	26 May-14	27 Jun-14	28 Jul-14	29 Aug-14	30 Sep-14	31 Oct-14	32 Nov-14	33 Dec-14	34 Jan-15	35 Feb-15	36 Mar-15	37 Apr-15	38 May-15	39 Jun-15
High Need Families							0.1	0.4	0.7	1.1	1.5	1.9	2.2	2.4	2.6	2.7	2.7	2.8	2.8	2.8	2.8	2.9	2.9	2.9	2.8	2.8	2.7	2.6	2.5	2.4	2.0	1.7	1.3	1.0	0.8	0.5	0.3	0.2	0.0
Medium Need Families							0.2	0.7	1.2	1.8	2.5	3.2	3.6	4.0	4.3	4.4	4.5	4.6	4.7	4.7	4.7	4.8	4.8	4.8	4.7	4.7	4.5	4.3	4.2	3.9	3.4	2.8	2.2	1.7	1.3	0.9	0.5	0.3	0.0
Low Need Families (Home Agency)																																							
Worker Ratio as per DCLG																																							
High	1 worker to 5 Families																																						
Medium	1 worker to 15 Families																																						
Low (remain with Home agency)																																							

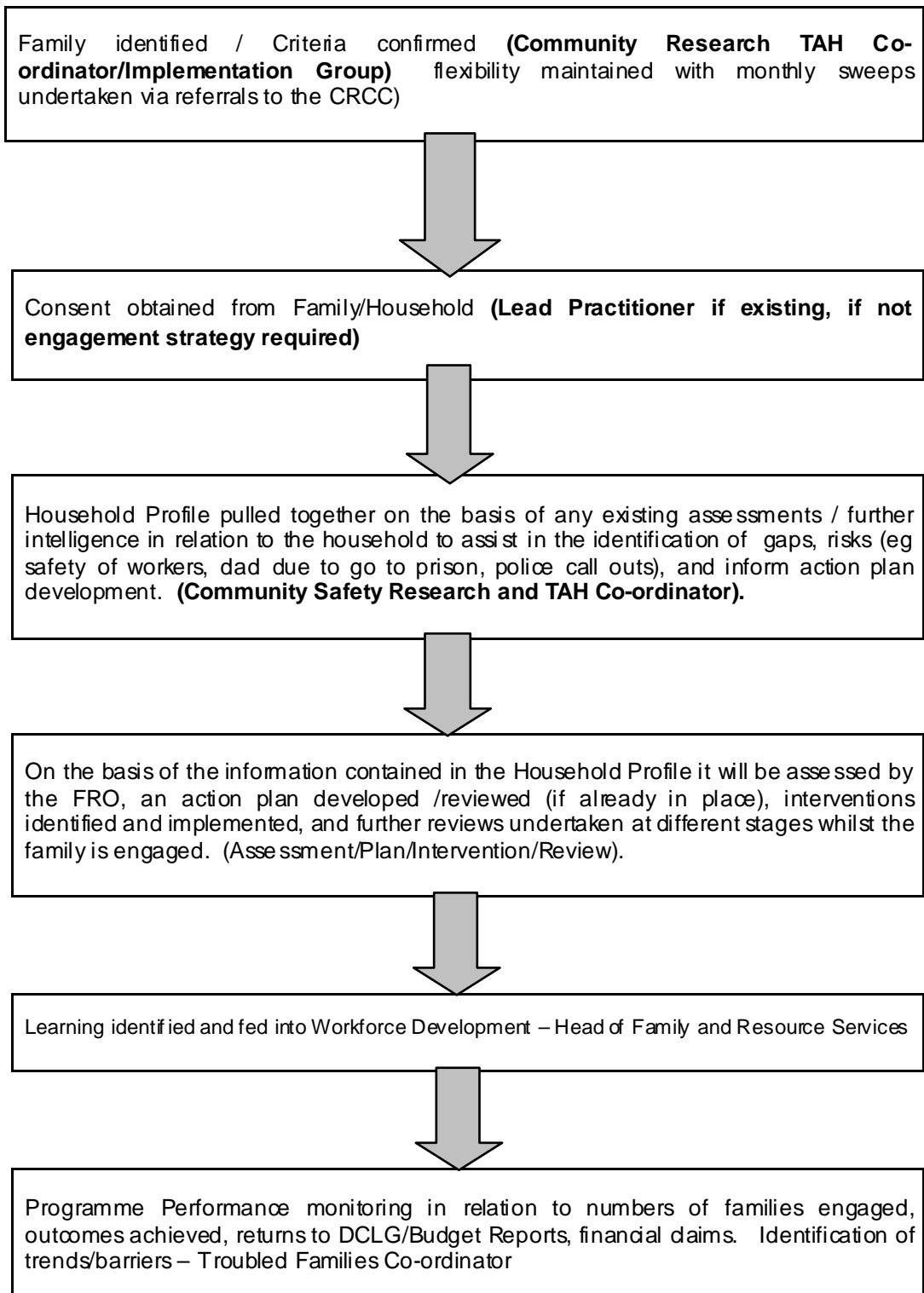




Operational Think Family, Think Communities Model



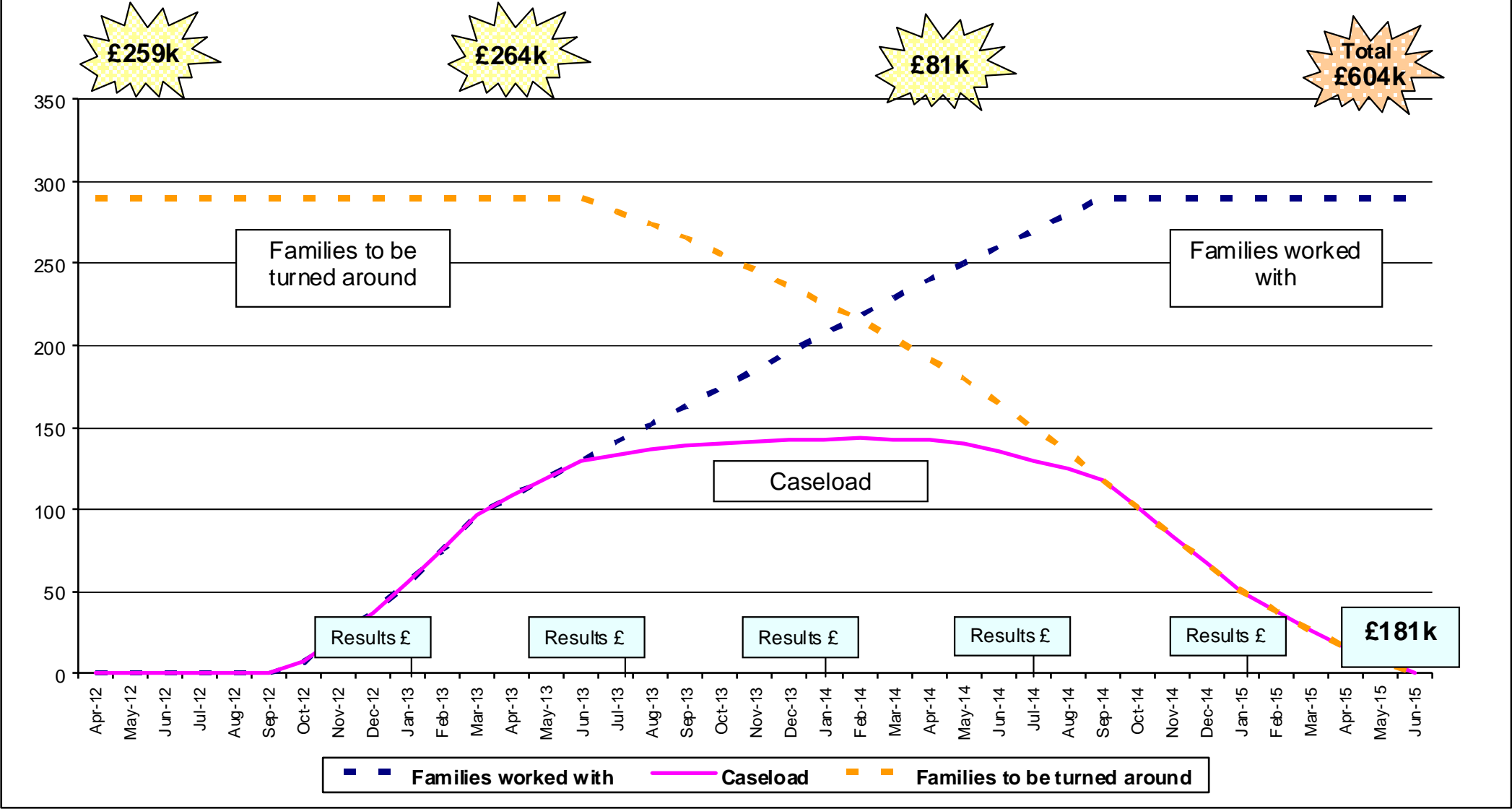
TEAM AROUND PROCESS



Think Family, Think Communities – Financial Profile

Think Family, Think Communities Programme	Families		Attachment Fee		Result Payments			
	Total number of Families to be worked with	Payment-by-results (PBR) eligible Families	PBR per Family	Attachment Fee Total	Option 1 (Results not achieved)	Option 2 (25% Success Rate)	Option 3 (50% Success Rate)	Option 4 (75% Success Rate)
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Think Family, Think Communities
Scaling Up



CABINET REPORT

7th January 2013



Report of: Director of Regeneration and Neighbourhoods

Subject: INNOVATION FUND

1. TYPE OF DECISION/APPLICABLE CATEGORY

For information.

2. PURPOSE OF REPORT

- 2.1 To update Cabinet on the outcome of Tees Valley Unlimited's (TVU) application to the Department for Work and Pensions (DWP) Innovation Fund.

3. BACKGROUND

- 3.1 On 12 May 2011, the Government announced a package of measures to help address youth unemployment. This included a new 'Innovation Fund' of up to £30 million over 3 years from 2012 to support social investment projects. Through the Innovation Fund, projects will support disadvantaged young people to improve their educational attainment and prevent those most at risk of becoming long term unemployed.
- 3.2 Within the tender specification, DWP outlined that bids could be submitted for up to £3m per annum over a period of up to 3 years. Targeted geographical areas were said to be those where youth unemployment/not in education, employment and training (NEET) rates were particularly high. Within the initial DWP documentation, 'Teesside' was specifically identified as one of those areas most in need.
- 3.3 The Innovation Fund was commissioned via two rounds. The first round of the fund focused on 14-24 year olds and provision started in early 2012. DWP confirmed that £16.5million of funding had been allocated under round one.
- 3.4 Round two was announced in January 2012, with the remaining £13.5 million available to compete for. This final round focused on disadvantaged young people aged 14 and 15 years to improve their attendance, attitude

and behaviour at school and reduce their risk of becoming long term NEET. Projects can work with these young people for up to three years and claim outcomes during this period.

- 3.5 Under round two of the Innovation Fund, bids were expected to focus on innovative ways of addressing the issues and barriers which lead to priority groups becoming long term NEET, such as young carers, looked after children and care leavers.

4. TVU FUNDING APPLICATION FOR ROUND TWO

- 4.1 A report was submitted to Cabinet on 2nd April 2012 highlighting that TVU were applying for the Innovation Fund under round two. TVU application outlined that:

- TVU would be the intermediary.
- Stockton Borough Council would be the contract holder.
- It would be a three year, Tees Valley wide project aimed at providing intensive support to 14 to 15 year olds who have been identified as high risk of becoming disengaged from school and/or long term NEET.
- In the three year period, a minimum of 500 and a maximum of 1500 young people could be supported, dependent on the funding awarded.
- There would be dedicated mentors to support young people to improve their attitude, attendance and behaviour and to assist them through the stages of year 10 and 11 and the transition into post 16 activity.
- In principle, £1 million per annum was secured for the three years from social investors to fund the project.

5. OUTCOME OF THE TVU APPLICATION

- 5.1 On 30th October 2012, DWP informed TVU that their application for the Innovation Fund was unsuccessful. At the time of writing this report, DWP had still not announced the name(s) of the successful provider(s) or which geographical area the provision would be targeted at. This will continue to be investigated with DWP and an update will be provided at the Cabinet meeting on 17th December 2012.
- 5.2 It was confirmed by TVU that their bid was the only one submitted for the Tees Valley sub-region and as it was unsuccessful, there will be no Innovation Fund provision delivered within this geographical area. However, if any future tendering opportunities become available through the Innovation Fund then Cabinet will be informed.

6. SECTION 17

6.1 This report is for information only.

7. EQUALITY AND DIVERSITY CONSIDERATIONS

7.1 This report is for information only.

8. RECOMMENDATIONS

8.1 This report is for information only. Further updates will be made to Cabinet if any future opportunities are made available through the Innovation Fund.

9. BACKGROUND PAPERS

9.1 The Department for Work & Pensions –Innovation Fund Provider Guidance
<http://www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/innovation-fund/>

10. CONTACT OFFICER

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