

CABINET AGENDA



4th February 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 meeting held on 21st January 2013
(previously circulated)

4. **BUDGET AND POLICY FRAMEWORK**

- 4.1 New Dwellings outside of Development Limits Supplementary Planning Document – *Director of Regeneration and Neighbourhoods*
- 4.2 Medium Term Financial Strategy (MTFS) 2013/14 to 2016/17 – *Corporate Management Team*

5. **KEY DECISIONS**

- 5.1 Choice Based Lettings Policy Review 2012 – *Director of Regeneration and Neighbourhoods*
- 5.2 The Council's report on Home Energy Conservation Act – *Director of Regeneration and Neighbourhoods*



6. OTHER ITEMS REQUIRING DECISION

- 6.1 Second Consultation Draft of the Joint Health and Wellbeing Strategy – *Director of Public Health*
- 6.2 Council Plan 2013/14 – *Corporate Management Team*
- 6.3 Welfare Reforms – Customer Strategy – *Chief Finance Officer*

7. ITEMS FOR DISCUSSION/INFORMATION

- 7.1 Priority Schools Building Programme – *Directors of Child and Adult Services & Regeneration and Neighbourhoods*
- 7.2 Low Level Support Services Provided by Who Cares (NE): Update and Next Steps – *Director of Child and Adult Services*

8. REPORTS FROM OVERVIEW OF SCRUTINY FORUMS

- 8.1 Holding Report – Formal response to the Executive's Medium Term Financial Strategy Strategy (MTFS) 2013/14 to 2016/17 – Budget Consultations – *Scrutiny Co-ordinating Committee*

EXEMPT ITEMS

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

9. EXEMPT KEY DECISIONS

No items

10. EXEMPT OTHER ITEMS REQUIRING DECISION

- 10.1 Future of the Indoor Bowling Club (para 3) – *Director of Regeneration and Neighbourhoods & Assistant Director (Community Services)*



CABINET REPORT

4 February 2013



Report of: Director of Regeneration and Neighbourhoods

Subject: NEW DWELLINGS OUTSIDE OF DEVELOPMENT
LIMITS SUPPLEMENTARY PLANNING DOCUMENT

1. TYPE OF DECISION/APPLICABLE CATEGORY

- 1.1 Key Decision (test (ii)); The SPD forms part of the Budget and Policy Framework. In the Forward Plan.
- 1.2 The New Dwellings Outside of Development Limits Supplementary Planning Document (SPD), if adopted, will form part of the Hartlepool Development Plan.

2. PURPOSE OF REPORT

- 2.1 The purpose of this report is to seek Cabinet's authorisation to undertake public consultation on the Draft New Dwellings Outside of Development Limits Supplementary Planning Document (SPD).

3. BACKGROUND

- 3.1 The rationale for new dwellings in the countryside is driven by many factors; of the few circumstances in which isolated residential development may be justified are:
 - **Rural Enterprise:** Accommodation is required to enable agricultural, forestry and other rural based enterprise full-time workers to live at, or in the immediate vicinity of, their place of work, or
 - **Heritage:** The development would represent the best viable use or secure the future of a heritage asset, or
 - **Outstanding Design:** The development is of truly outstanding design, architecture, sustainable construction methods etc
- 3.2 The existing planning policy framework allows for new dwellings in the countryside subject to the proposals according with criteria established in the following policies:

- Local Plan (2006) policy Rur12
- Emerging Local Plan (2012) Submission document policy HSG3 (Once adopted, the 2012 Local Plan will replace the 2006 Local Plan)
- National Planning Policy Framework (NPPF) paragraph 55

- 3.3 In most cases in order to ensure rural dwellings are in accordance with the planning policy framework it is essential that a functional test is undertaken. However the planning policy framework has changed and this resulted in the cancellation of Planning Policy Statements (PPS) and replacement with the National Planning Policy Framework (NPPF). PPS7 previously outlined the specific requirements of the functional test and this provided certainty to developers and the Council on what was expected as part of special justification. This specific functional test guidance has not been repeated in the NPPF and as a result there is uncertainty with regard to what is expected from developers in order to justify a new dwelling outside of development limits.
- 3.5 The SPD provides the detail as to when a functional test will be required and details what information the applicant will be required to submit as part of the functional test. The functional test assessment criteria are established in Tables 1 and/or 2 of the SPD. However in accordance with the planning policy framework, any new dwellings outside of development limits which require a functional test will not be permitted unless the criteria established in Tables 1 and/or 2 are satisfied.
- 3.6 It is important to note that a functional test is only required for new dwellings outside of development limits where applicants are claiming housing need where:
- **Rural Enterprise:** Accommodation is required to enable agricultural, forestry and other rural based enterprise full-time workers to live at, or in the immediate vicinity of, their place of work, or
 - **Heritage:** The development would represent the best viable use or secure the future of a heritage asset.
- 3.7 There is no requirement to undertake a functional test where new dwellings outside of development limits are proposed due to their truly outstanding design, architecture, sustainable construction methods etc.

4. PROPOSALS

- 4.1 It is proposed that public consultation be undertaken on the SPD. Should authorisation be granted, consultation would commence in February 2013 and would run for a minimum period of eight weeks.
- 4.2 The public consultation will be undertaken in accordance with the Statement of Community Involvement (SCI). The SCI was prepared in compliance with the Hartlepool Compact and its associated protocols.

5. RECOMMENDATIONS

- 5.1 Cabinet is requested to authorise consultation on the draft SPD.

6. REASONS FOR RECOMMENDATIONS

- 6.1 The SPD, if adopted, will form part of the Hartlepool Development Plan. It will be a material consideration in the determination of planning applications and compliance with its contents will ensure that sufficient information is submitted to enable the Council to determine whether proposals for new dwellings outside of development limits are based on robust need and are sufficiently justified.

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

- 7.1 Draft New Dwellings Outside of Development Limits Supplementary Planning Document (SPD) (**Appendix 1**)

8. BACKGROUND PAPERS

- The Adopted Hartlepool Local Plan (2006) with specific regard to policy Rur12.
- The Emerging Local Plan (2012) Submission document with specific regard to policy HSG3.
- The National Planning Policy Framework (NPPF) with specific regard to paragraph 55

9. CONTACT OFFICER

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New Dwellings Outside of Development Limits

Supplementary Planning Document

Draft

January 2013

CONTENTS

No	Subject	Page
1	Introduction	3
2	Need for New Dwellings Outside of Development Limits	4
3	Existing and Emerging Planning Policy	6
4	The Functional Test	7
	Table 1: Rural enterprise functional test assessment criteria	8
	Table 2: Heritage functional test assessment criteria	10
	Appendix 1: Local Plan (2006) policy extract	12
	Appendix 2: Local Plan (2012) Submission document policy extract	13
	Appendix 3: NPPF paragraph 55 extract	14

1. INTRODUCTION

- 1.1 Need for new dwellings in the countryside is driven by many factors; one of the few circumstances in which residential development may be justified is when accommodation is required to enable agricultural, forestry and other rural based enterprise full-time workers to live at, or in the immediate vicinity of, their place of work.
- 1.2 The existing planning policy framework allows for new dwellings in the countryside subject to the proposals according with criteria established in the policies. In order to ensure any development is in accordance with the planning policy framework in most cases it is essential that a functional test is undertaken.
- 1.3 This Supplementary Planning Document (SPD) provides the detail as to when a functional test will be required and details what information the applicant will be required to submit as part of the functional test.

2. NEED FOR NEW DWELLINGS OUTSIDE OF DEVELOPMENT LIMITS

- 2.1 Most of the land in the borough which falls outside of development limits can be characterised as being “countryside”. Therefore most dwellings proposed outside of the development limits will be, by definition: development in the countryside.
- 2.2 The National Planning Policy Framework (NPPF) and policies in the existing Local Plan (2006) and emerging Local Plan (2012) make clear that new houses in the countryside require special justification for planning permission to be granted. Circumstances in which residential development may be justified are:
- **Rural Enterprise:** Accommodation is required to enable agricultural, forestry and other rural based enterprise full-time workers to live at, or in the immediate vicinity of, their place of work, or
 - **Heritage:** The development would represent the best viable use or secure the future of a heritage asset, or
 - **Outstanding Design:** The development is of truly outstanding design, architecture, sustainable construction methods etc
- 2.3 Historically there have not been many cases of new dwellings outside of development limits justified through heritage or outstanding design housing need. Therefore it is anticipated that the majority of the new dwellings outside of development limits proposed will be justified through the rural enterprise housing need argument.

Rural Enterprise

- 2.4 It will often be as convenient and more sustainable for such workers to live in the main urban area or in nearby villages or in suitable existing dwellings, so avoiding new and potentially intrusive and unsustainable development in the countryside. However, there will be some cases where the nature and demands of the work concerned make it essential for one or more people engaged in the enterprise to live at, or very close to, the site of their work. Whether this is essential in any particular case will depend on the needs of the enterprise concerned and not on the personal preferences or circumstances of any of the individuals involved.
- 2.5 It is essential that all applications for planning permission for new occupational dwellings in the countryside are scrutinised thoroughly with the aim of detecting attempts to abuse (e.g. through speculative proposals) the concession that the Local Plan makes for such dwellings. In particular, it will be important to establish whether the stated intentions to engage in farming, forestry or any other rural-based enterprise, are genuinely financially viable and are reasonably likely to materialise and are capable of being sustained for a reasonable period of time. It will also be important to establish that the needs of the intended enterprise require one or more of the people engaged in it to live nearby.

Heritage

- 2.6 It may be appropriate justification where a new dwelling, conversion or change of use of a building to residential that would represent the best viable use of heritage asset or secure the future of the asset is proposed. The heritage justification is an individual justification and as a result the heritage justification can be made without the need to justify the need via the rural enterprise need.

Outstanding Design

- 2.7 Notwithstanding the rural enterprise and heritage justification, in exceptional circumstances, new dwellings outside of development limits may be permitted where the design is truly outstanding, groundbreaking, innovative, reflecting the highest standards in architecture and the development significantly enhances the immediate setting.

3. EXISTING AND EMERGING PLANNING POLICY

- 3.1 The current Local Plan (2006) includes a policy which outlines when new housing in the countryside will be appropriate. The policy wording is detailed in appendix 1.
- 3.2 The emerging Local Plan (2012) Submission document includes a similar policy, which is detailed in appendix 2. The emerging Local Plan (2012) allocates sufficient land within the development limits to accommodate the anticipated housing need over the next 15 years. Bearing this in mind, proposals for new additional dwellings outside of development limits will need to be given special and detailed consideration prior to planning permission being granted.
- 3.3 The National Planning Policy Framework (NPPF) identifies when new housing in the countryside would be appropriate. The policy wording is detailed in appendix 3.
- 3.4 The cumulative planning policy framework allows for new dwellings in the countryside subject to proposals according with the criteria established in the policies. In order to ensure any development is in accordance with the planning policy framework it is essential that a functional test is undertaken. The functional test will be required for all relevant development that would be considered under:
- Local Plan (2006) policy Rur12
 - Local Plan (2012) policy HSG3
 - NPPF paragraph 55
- 3.5 The emerging policy HSG3 in the 2012 Local Plan is the most up-to-date policy with regard to new dwellings outside of development limits and reflects the planning policy framework established in the NPPF. Although not yet part of an adopted Local Plan, the HSG3 policy holds significant weight with regard to making decisions and guiding development; as a result it is currently being used to determine relevant planning applications. As a result the functional test assessment criteria are designed to incorporate the relevant requirements of policy HSG3.
- 3.6 The following section outlines the function test requirements with regard to justification made under the rural enterprise or heritage needs.

4. THE FUNCTIONAL TEST

4.1 It is important to note that a functional test is only required for new dwellings outside of development limits where applicants are claiming housing need where:

- **Rural Enterprise:** Accommodation is required to enable agricultural, forestry and other rural based enterprise full-time workers to live at, or in the immediate vicinity of, their place of work, or
- **Heritage:** The development would represent the best viable use or secure the future of a heritage asset.

4.2 There is no requirement to undertake a functional test where new dwellings outside of development limits are proposed due to their truly outstanding design, architecture, sustainable construction methods etc. as detailed in points 7 to 11 in policy HSG3 in the Local Plan 2012 Submission document or paragraph 55 in the NPPF as detailed in appendix 2 and 3.

4.3 The functional test criteria are assessed against the criteria established in the planning policy framework consisting of policies detailed in paragraphs 3.4 and 3.5. The assessment criteria are established in tables 1 and/or 2. In accordance with the planning policy framework, any new dwellings outside of development limits will not be permitted unless the criteria established in tables 1 and/or 2 are satisfied.

Rural Enterprise

4.4 In order to justify housing need through rural enterprise, all applicants will be required to submit the relevant information to answer the questions (a) to (l) in table 1 to the Local Planning Authority in order to justify the housing need.

Heritage

4.5 For applications which are justified under heritage need, applicants will be required to submit relevant information to answer the questions (m) to (s) in table 2 to the Local Planning Authority in order to justify the housing need.

Outstanding Design

4.6 For applications which are justified under outstanding design there is no requirement to submit relevant information to answer the questions in tables 1 or 2 in order to justify the housing need.

Table 1: Rural Enterprise Functional Test Assessment Criteria

NPPF Para 55 Criteria Point	LP 2006 Rur12 Criteria Point	LP 2012 HSG3 Criteria Point	Criteria Subject	Functional Test Criteria	Application Assessment Mechanism
1	(a)	1	There is a clearly established functional need and that they are essential for a full time rural worker(s) to live permanently at or near their place of agricultural, forestry or other rural based enterprise considered acceptable by the Borough Council.	<p>(a) Is it essential for full time workers to attend to agricultural or rural enterprise business at short notice?</p> <p>(b) Is it essential for full time workers to quickly deal with emergencies that could otherwise cause loss of agricultural produce such as livestock?</p> <p>(c) Is it essential for full time workers to protect livestock or business infrastructure from theft and/or vandalism day and night?</p>	Planning Statement
1	(b)	2	The agricultural, forestry or other rural based enterprise considered acceptable by the Borough Council has been established for at least three years, has been profitable for at least one of them, is currently financially sound and has a clear prospect of remaining so.	<p>(d) Has the enterprise been established for three or more years?</p> <p>(e) Has the enterprise been profitable for at least one of the three years it has been established?</p> <p>(f) Is there a clear prospect of the enterprise remaining economically viable in the long term?</p>	Business accounts
1	(a)	3	The need could not be met by another existing dwelling nearby.	<p>(g) Are there any other suitable dwellings nearby which can meet the housing need?</p> <p>(h) Have suitable dwellings or buildings suitable for conversion been sold separately from the farm and/or rural enterprise business holding? Such a sale could constitute a lack of housing need.</p>	<p>Residential property search Report</p> <p>Historical land use Report</p>

NPPF Para 55 Criteria Point	LP 2006 Rur12 Criteria Point	LP 2012 HSG3 Criteria Point	Criteria Subject	Functional Test Criteria	Application Assessment Mechanism
n/a	(c)	4	The dwelling(s) proposed is of a size commensurate with the size/value of the agricultural, forestry or other rural enterprise it is supporting.	<p>(i) Is the size of the dwelling proportionate to the functional requirements of the rural enterprise?</p> <p>(j) Is the market value of the dwelling proportionate to the current and/or future income generated through the rural enterprise?</p> <p>(k) Is the dwelling sited so as to meet the identified functional need and does it relate well to existing buildings and/or other dwellings?</p>	<p>Planning Statement</p> <p>Property Valuation & Business Accounts</p> <p>Plans & Drawings</p>
n/a	(d)	5	Proposals are in accordance with other relevant policies in the Local Plan and the NPPF.	(l) Are the proposals in accordance with all relevant policies in the Local Plan and NPPF?	Plans & Drawings

Table 2: Heritage Functional Test Assessment Criteria

NPPF Para 55 Criteria Point	LP 2006 Rur12 Criteria Point	LP 2012 HSG3 Criteria Point	Criteria Subject	Functional Test Criteria	Application Assessment Mechanism
2	n/a	6	Where relevant the development would represent the best viable use or secure the future of a heritage asset.	<p>(m) Will it not materially harm the heritage values of the place and/or its setting?</p> <p>(n) Will it avoid detrimental fragmentation of management of the place?</p> <p>(o) Will it secure the long term future of the place and where appropriate, its continued use for a sympathetic purpose?</p> <p>(p) Is it necessary to resolve problems arising from the inherent needs of the place, rather than the circumstances of the present owner, or the purchase price paid?</p> <p>(q) Is sufficient subsidy not available from any other heritage/conservation source?</p> <p>(r) Can it be demonstrated that the amount of enabling development is the minimum necessary to secure the future of the place, and that its form minimises harm to other public interests?</p> <p>(s) Does the public benefit of securing the future of the significant place through such enabling development outweighs the disbenefit of breaching other public policies?</p>	Heritage Statement (Where Relevant)

END OF SPD

NEW HOUSING IN THE OPEN COUNTRYSIDE

ISOLATED NEW DWELLINGS WILL NOT BE PERMITTED IN THE OPEN COUNTRYSIDE UNLESS IT CAN BE DEMONSTRATED THAT:

- a) THEY ARE ESSENTIAL FOR THE EFFICIENT FUNCTIONING OF AGRICULTURAL, FORESTRY OR OTHER APPROVED OR ESTABLISHED USES IN THE COUNTRYSIDE,**
- b) THE ENTERPRISE FOR WHICH THEY ARE REQUIRED IS ECONOMICALLY VIABLE,**
- c) THEY ARE OF A SIZE COMMENSURATE WITH THE ESTABLISHED FUNCTIONAL REQUIREMENT,**
- d) THE SITING, DESIGN, SCALE AND MATERIALS WILL NOT BE SIGNIFICANTLY DETRIMENTAL TO THE RURAL ENVIRONMENT.**

PROPOSALS FOR ONE FOR ONE REPLACEMENT DWELLINGS WILL ONLY BE APPROVED WHERE:

- i. THE EXISTING ACCOMMODATION NO LONGER MEETS MODERN STANDARDS AND IS INCAPABLE OF ECONOMIC REPAIR OR ADAPTATION, AND**
- ii. THE SCALE OF THE PROPOSED DEVELOPMENT IS BROADLY SIMILAR TO THE ORIGINAL AND THE FORM, SCALE, MASSING AND GENERAL DESIGN IS SUCH TO MINIMISE VISUAL INTRUSION.**

INFRASTRUCTURE INCLUDING SEWAGE DISPOSAL TO SERVE HOUSING IN THE RURAL AREA MUST BE ADEQUATE TO MEET THE NEEDS OF THE DEVELOPMENT.

HSG3: New Dwellings Outside of Development Limits

The Borough Council will ensure that new dwellings outside of development limits will not be permitted unless it can be demonstrated that:

- 1) There is a clearly established functional need and that they are essential for a full time rural worker(s) to live permanently at or near their place of agricultural, forestry or other rural based enterprise considered acceptable by the Borough Council, and;
- 2) The agricultural, forestry or other rural based enterprise considered acceptable by the Borough Council has been established for at least three years, has been profitable for at least one of them, is currently financially sound and has a clear prospect of remaining so, and;
- 3) The need could not be met by another existing dwelling nearby, and;
- 4) The dwelling(s) proposed is of a size commensurate with the size/value of the agricultural or forestry business it is supporting.
- 5) Proposals are in accordance with policies ND2, ND3 and NE2.
- 6) **Or where relevant the development would represent the best viable use or secure the future of a heritage asset.**

Notwithstanding the above criteria, in exceptional circumstances, new dwellings outside of development limits may be permitted where the design:

- 7) Is truly outstanding, groundbreaking and innovative, for example in its use of materials, methods of construction or its contribution to protecting and enhancing the environment, and;
- 8) Reflects the highest standards in architecture, and;
- 9) Significantly enhances the immediate setting, and;
- 10) Is sensitive to the defining characteristics of the local area, and;
- 11) Is an exemplar of sustainable construction.

Proposals for replacement dwellings outside of development limits will only be approved where:

The existing dwelling no longer meets modern standards and is incapable of economic repair or adaption, and the scale of the proposed development is similar to original and the form, scale, massing and general design is such to minimise visual intrusion.

Appendix 3: National Planning Policy Framework Extract

Paragraph 55

To promote sustainable development in rural areas, housing should be located where it will enhance or maintain the vitality of rural communities. For example, where there are groups of smaller settlements, development in one village may support services in a village nearby. Local planning authorities should avoid new isolated homes in the countryside unless there are special circumstances such as:

- the essential need for a rural worker to live permanently at or near their place of work in the countryside; or
- where such development would represent the optimal viable use of a heritage asset or would be appropriate enabling development to secure the future of heritage assets; or
- where the development would re-use redundant or disused buildings and lead to an enhancement to the immediate setting; or
- the exceptional quality or innovative nature of the design of the dwelling. Such a design should:
 - be truly outstanding or innovative, helping to raise standards of design more generally in rural areas;
 - reflect the highest standards in architecture;
 - significantly enhance its immediate setting; and
 - be sensitive to the defining characteristics of the local area.



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 Decision.

2. PURPOSE OF REPORT

- 2.1 The purpose of the report is to update the MTFS and to enable Cabinet to finalise the budget proposals it wishes to refer to Council.

3. BACKGROUND

- 3.1 A number of reports have been submitted to Cabinet over the period June 2012 to December 2012 which highlighted the significant financial challenges facing the Council in 2013/14 and future years arising from:

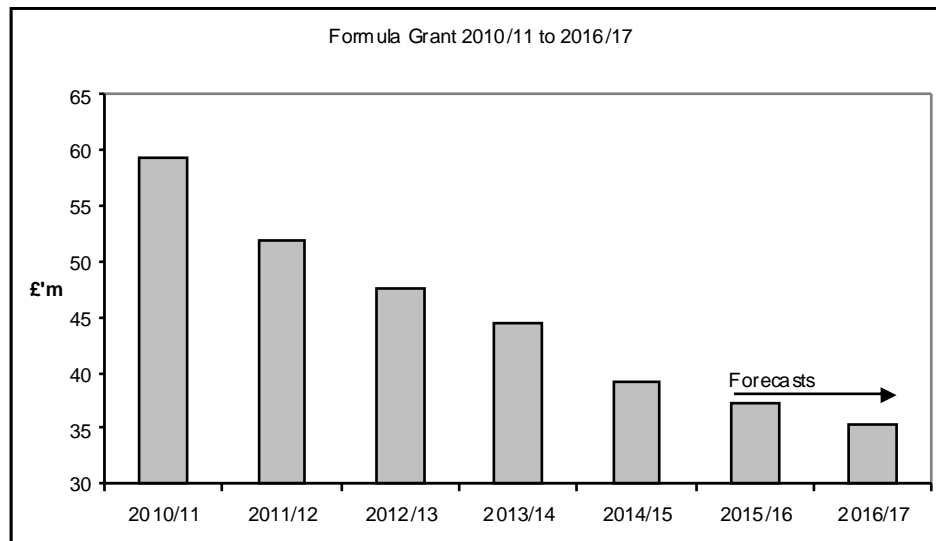
- Continued reductions in Formula Grant (the main grant paid to Councils);
- Reductions in specific grants, including the Early Intervention Grant (EIG) and Local Authority Central Spend Equivalent Grant (LACSEG);
- Fundamental changes in the overall system for funding Local Authorities. These changes are the most significant changes since the Community Charge was replaced by the Council Tax in 1993 and will impact on Authorities in 2013/14 and transfer additional ongoing financial risks to Councils.

These changes cover two key issues, the re-localisation of business rates and the replacement of the national Council Tax Benefit System with locally determined Council Tax Support schemes.

- 3.2 Previous reports advised Members that implementing any one of the above changes would be challenging for the Council, implementing

them all at the same time significantly increase the financial risks the Council will need to manage in 2013/14 and future years. It is therefore essential that robust plans are developed and implemented to manage these issues and any one off costs arising from these changes.

- 3.3 A key component of this overall strategy has been the development of a robust outturn strategy for the current year (2012/13) to address the additional financial risks facing the Council. These issues were considered by the Corporate Management Team and Cabinet previously approved a strategy based on setting underspend targets and reviewing of reserves to identify resources to fund additional one-off expenditure commitments. This strategy is a key element of the strategic approach to managing the Council's financial position over the period of the MTFS (2013/14 to 2016/17) and aims to ensure the Council has a robust financial base to manage continuing grant cuts. This approach will hopefully avoid the need for emergency measures and even higher cuts in budgets in future years.
- 3.4 This report outlines the key issues impacting on MTFS over the next 4 years. The key financial challenge facing the Council is the development of a strategy to manage continuing cuts in Formula Grant.
- 3.5 The provisional Local Government Finance Settlement announcement on 19th December 2012 confirmed that the grant cuts for the next two years (2013/14 and 2014/15) will be higher than previously announced by the Government in the 2010 Spending review. The actual grant cuts are also higher than the updated forecasts reported in December 2012 based on our assessment of information announced by the Government since the 2010 Spending Review.
- 3.6 The December 2012 Settlement announcement confirms that by 2014/15 Hartlepool's annual Formula Grant will be £20.1m less than it was in 2010/11, an ongoing cut of 34%. This is a cash reduction, when account is taken of inflation the real term cut is greater.
- 3.7 The Chancellor's 2012 Autumn Statement confirms that further Public Spending cuts will be made in 2015/16 and 2016/17, and detailed proposals will be set out in a Spending Review to be completed in 2013. It is anticipated that there will be further cuts in the Formula Grant and by 2016/17 the Council's Formula Grant will be £23.9m lower than it was in 2010/11, a 40% cut, as summarised below.



4. 2012/13 Outturn Strategy and Review of Reserves

4.1 A comprehensive report was submitted to Cabinet on 19th November 2012 detailing progress in achieving the targets set for in-year managed budget underspends. This strategy has achieved underspends through a combination of robust management actions, including;

- holding posts vacant, which will help reduce the number of compulsory redundancies required to balance the 2013/14 budget;
- achieving planned savings earlier;
- careful management of budgets to avoid expenditure where this does not have an adverse impact on services;
- the financial benefit to the Council of Local Government pay being frozen for the third successive year (fourth year for Chief Officers). The ongoing benefit of the 2012/13 pay freeze has been built into the 2013/14 budget forecast; and
- savings in interest costs by taking advantage of current interest rates structures. A comprehensive review of this area has also been completed and detailed proposals to secure a permanent budget saving of £1m from 2014/15 in interest and loan repayment costs has been developed.

4.2 The report also provided details of progress in achieving the target set for re-assessing reserves where these resources can be released as the risk has reduced, or the initial proposed use of the reserve is no longer a priority in the current financial climate.

4.3 The previous report indicated that total resources from managing these areas is anticipated to be in the range of £5.660m to £6.480m, depending on the final outturn for demand lead budgets.

- 4.4 These forecasts were updated in January to reflect actual expenditure to the end of December 2012 and forecast expenditure for the remainder of the year. The updated figures anticipate a small increase in the forecast underspends. Assuming these outturns are achieved the level of available resources will exceed the previously identified commitments by between £0.381m and £1.161m (forecast reported in December was between £0.191m to £1.011m) as summarised below:

Summary of additional one-off commitments to be funded from 2012/13 outturn and review of reserves

	Best case £'000	Worst Case £'000
Forecast additional grant cuts 2013/14 arising from formula changes and updated population figures	850	850
Business Rates Retention – safety net threshold risk and impact of Power Station	1,000	1,000
Forecast additional redundancy and early retirement costs up to 2016/17	2,500	2,500
Provision for income shortfall 2013/14	500	500
Provision for delayed implementation of planned 2013/14 and 2014/15 savings	500	500
Total additional one-off commitments	5,350	5,350
Less Forecast 2012/13 Managed budget underspends (see note 1)	(3,570)	(4,350)
Less Reserves released from reviewing existing commitments	(2,280)	(2,280)
Funding for one off Accommodation costs (see note 2)	119	119
Forecast uncommitted resources available to temporarily support 2013/14 budget if actual grant cut is higher than forecast	(381)	(1,161)

Note 1 - These figures assume that none of the forecast outturn is allocated for the Empty Homes Project and the additional forecast costs on this scheme are funded from Prudential Borrowing supported by the Business Case.

Note 2 - A comprehensive report on the Accommodation Strategy was considered by the Finance and Corporate Services Portfolio Holder on 12th December 2012 outlining proposals to achieve ongoing budget savings of £0.17m from 2014/15. The budget forecast for 2014/15 anticipate savings of £0.1m from reducing accommodation costs, therefore there may be additional savings available to reduce the overall net 2014/15 budget deficit. To achieve these savings one-off costs need to be incurred of £0.184m (including a 15% contingency). It is recommended that £0.119m of these costs are funded from the

current year's outturn and £0.065m from the part year accommodation costs saving anticipated in 2013/14.

- 4.5 The forecast uncommitted resources detailed in the above table (£0.381m to £1.161m) were previously not committed pending the announcement of the 2013/14 Local Government Finance Settlement by the Government. As detailed later in the report the actual grant cut for 2013/14 is higher than forecast. However, the increase in the 2013/14 budget deficit can be funded from the 2012/13 Collection Fund Surplus which the Council is required by statute to take into account when setting next years' budget. It is therefore recommended that the uncommitted underspend is transferred to the General Fund.
- 4.6 It is also recommended that a strategy for using this amount is then developed as part of the 2014/15 budget process. The development of this strategy will reflect our professional advice on the impact of higher grant cuts in 2014/15 and additional financial risks the Government are transferring to Councils in relation to back-dated Business Rates, which is detailed later in the report.
- 4.7 As reported in December a review of Reserves has been completed and the table in paragraph 4.4 includes details of the Reserves identified and recommended for release by the Corporate Management Team towards funding the additional one-off commitments. As previously reported reserves are held to manage a range of risks and many of these risks will occur in future years. It is therefore important to maintain these reserves to protect the Councils medium term financial position. These reserves can only be used once and when they are used any unfunded risks will need to be funded from the revenue budget. Members will recall that a comprehensive review of reserves and risks was carried out as part of the 2012/13 budget process and identified reserves which needed to be retained to manage previously identified risks and /or to fund known unavoidable commitments. Therefore, the latest review recognised there would only be limited scope for identifying further reductions in existing reserves.
- 4.8 The latest review was based on the level of reserves at the 31st March 2012 which was £49.988m. This includes reserves Held in Trust for schools which cannot be spent by the Council, Ring fenced Grants which can only be spent in accordance with the conditions of the grant, the Budget Support Fund which is committed against the 2012/13 MTFS and capital reserves earmarked to fund capital expenditure commitments rephased into 2012/13. In addition, the total reserves included two Earmarked Reserves which should have been accounted for as Provisions. It was agreed with the External Auditors that this amendment would be actioned in the 2012/13 accounts and this reduces reserves by £1.273m.

- 4.9 When account is taken of the above amounts the net reserves available for review is £31.609m, as summarised below and the review identified £2.280m towards the additional one-off commitments.

	£'000	£'000
Total Reserves 31.3.12	49,988	
Less Audit Adjustments - Transfer of Reserves to Provisions	(1,273)	
<u>Less Reserves Held in Trust/Committed</u>		48,715
School Reserves	(7,155)	
Ring Fenced Grants	(1,971)	
Capital Reserves	(6,775)	
Budget Support	(710)	
Lotteries & Museums	(495)	
		(17,106)
Total Reserves Available for Review		31,609

- 4.10 **Appendix 1** provides a schedule of the 'Reserves Held in Trust/Committed' of £17.106m. **Appendix 2** provides a schedule of 'other reserves' of £31.609m. These appendices provide an explanation of the risk individual reserves are earmarked to manage, the reason individual reserves need to be maintained and the planned phasing of when the reserve will be spent.

4.11 Statutory Accounts 2012/13 – Impact of Outturn Strategy

- 4.12 The successful achievement of the targets set for in-year managed underspends and reviewing reserves will impact on the year end position reported in the Statutory Accounts.
- 4.13 Similarly, the receipt of income from external funders in the current year to pay for services next year will also be reported in the Statutory Accounts, as a contribution to reserves. As reported in previous years this arrangement helps maximise the financial resources available to spend in the town, although it does result in a temporary increase in reserves at the year end.
- 4.14 The Statutory Accounts will also provide a summary of the financial strategy adopted by the Council in 2012/13 to manage budgets robustly and to prepare for future financial challenges. This is a difficult message to explain to the public and Officers and Members will need to work together to explain the strategy to the public.

5. Chancellor's Autumn Statement

5.1 The Chancellor made his Autumn Statement on 5th December 2012. In broad terms the Statement and information from the Office for Budget Responsibility indicates that Britain's economy is now expected to contract by 0.1% this year owing to the impact of problems in Europe. Growth forecasts for future years are now lower than previously expected and the latest forecasts are:

- 1.2% in 2013;
- 2% in 2014;
- 2.3% in 2015;
- 2.7% in 2016;
- 2.8% in 2017.

5.2 The public sector deficit is expected to fall this year, partly owing to one-off benefits and to continue falling until 2017/18, which is later than previously forecast. These factors highlight the continued financial challenges facing the economy and the public sector, which it is expected will experience a continued period of austerity until 2017/18. This position is underpinned by the following issues:

- The Chancellor's statement that total public sector spending will reduce from 48% of GDP in 2009/10 to 39.5% in 2017/18;
- The Chancellor confirmed that 80% of the overall reduction in Government spending will relate to expenditure reductions, with 20% coming from tax increases;
- Government Departmental budgets will be cut by an additional 1% in 2013/14 and 2% in 2014/15. The 1% reduction does not apply to Councils, but the 2% reduction will apply in 2014/15. The Autumn Statement indicated that nationally this will reduce total funding for Local Government by a further £455 million in 2014/15. The following table summaries the departmental budget reductions announced by the Chancellor in the Autumn Statement;
- Confirmation that a Comprehensive Spending Review will be completed in the first half of 2013 to determine Government spending priorities for 2016/17 and 2017/18;
- The announcement that most welfare benefits for working age adults will be capped at 1% for each of the next 3 years.

	£ million	
	2013-14	2014-15
Education	-155	-305
NHS (Health)	0	0
Transport	-50	-90
CLG Communities	-20	-25
CLG Local Government	0	-445
Business, Innovation and Skills	-150	-280
Home Office	-80	-155
Justice	-75	-140
Law Officers' Departments	-5	-10
Defence	-245	-490
Foreign and Commonwealth Office	-10	-20
Energy and Climate Change	-5	-5
Environment, Food and Rural Affairs	-20	-35
Culture, Media and Sport	-10	-20
Work and Pensions	-75	-155
Scotland	-50	-105
Wales	-20	-65
Northern Ireland	-20	-40
Chancellor's Departments	0	-5
Cabinet Office	-5	-10
Small and Independent Bodies	-5	-10
International Development ²	-250	-430

- 5.3 The additional 2% grant reduction in 2014/15 has now been reflected in the 2014/15 grant reductions for individual Councils announced on 19th December 2012. As detailed later in the report this is one of the reasons for the higher cut in the Council's 2014/15 grant. The additional national grant cut of 2% has a disproportionate impact on Councils which are more dependent on Grant funding and which operate in deprived areas, including Hartlepool.

5.4 Provisional Local Government Finance Settlement 2013/14 and 2014/15

- 5.5 The Government presented the provisional Local Government Finance Settlement to Parliament on 19th December 2012, which was significantly later than in previous years. As a result the consultation period on the provisional settlement will be shorter than it was in previous years and the final settlement will be delayed until early February. The exact date for the final settlement has not yet been provided by the Government and if this information is available before your meeting a verbal update will be provided. Based on experience in previous years it is not anticipated there will be any significant changes in the provisional settlement, although this position may be different for 2013/14 owing to the scale of changes being implemented by the Government. The provisional settlement covered the following key issues:

- recognised the success of Local Authorities in managing the spending cuts over the last two years and on this basis Councils are exempt from the additional 1% funding cuts in 2013/14. However, it was confirmed that in 2014/15 the additional 2%

cuts announced by the Chancellor in the Autumn Statement will apply;

- confirmed that the Business Rate Retention changes will be implemented and stated this is the 'biggest shake up in Local Government funding in a generation and shifts power from Whitehall to the town hall'. As previously reported this change increases the financial risks the Council will need to manage, particularly in relation to the impact of the Power Station;
- Funding reductions will again be measured as 'spending power' cuts. The Secretary of State indicated that the average 'spending power' cut will be 1.7%, with no Authority experiencing a cut of more than 8.8% and a 3% maximum cut for upper tier Authorities;
- Confirmed proposals in relation to Council Tax Freeze referendum arrangements;
- Publication of a document setting out '50 Ways to save – examples of sensible savings in Local Government'. The Council has already implemented many of these issues.

5.6 Impact of the Local Government Finance Settlement on Hartlepool

5.7 The settlement covers two years - 2013/14 and 2014/15 and whilst the national position for 2013/14 is broadly in line with anticipated cuts, the figures for 2014/15 are significantly worse than anticipated. The higher cuts for 2014/15 include the impact of the additional 2% cuts announced by the Chancellor's Autumn Statement in December. For Hartlepool the additional cuts in the core grant are £0.766m in 2013/14 and £1.3m in 2014/15. Further information of these additional grant cuts and the impact on the MTFS is provided later in this section.

5.8 The Government are again showing cuts in Council funding as changes in 'spending power'. Department for Communities and Local Government (DCLG) define 'spending power' as total grants (including the main Formula Grant, New Homes Bonus, Council Tax Benefit Grant funding, Council Tax Freeze Grant, NHS funding to support Social Care) and Council Tax income. On this basis it appears that for 2013/14 that the headline reductions in spending power are relatively low. However, this position understates the actual cuts in core grant funding and cuts in specific grant regimes such as the Early Intervention Grant. This makes it difficult to explain the impact of cuts in Council funding to the public.

5.9 There are also significant concerns regarding the use of spending power by the Government as a measure to compare relative spending power between individual Councils as this fails to take account of different levels of need for services in different areas. Spending Power

analysis per dwelling shows that Hartlepool has higher than average spending power compared to other areas. However, Hartlepool has significantly higher levels of deprivation and has an IMD (Index of Multiple Deprivation) ranking of 24 out of 326 authorities. These higher levels of deprivation have a direct impact on a wide range of services and the amount the Council needs to spend on services.

- 5.10 In addition, the definition of spending power double counts income on existing Council Tax Benefits, as this is included in both the base Council Tax income and with the specific Council Tax Support income. The double counting of this significant income (£9.8m) in the calculation of the reduction in spending power understates the relative cut in Hartlepool's spending power, particularly compared to authorities with lower spending on Council Tax Benefits.
- 5.11 The concerns regarding spending power cuts could be addressed by the Government simply stating the percentage cut in the different grants paid to individual Councils, or by providing this information alongside spending power cut. These concerns were raised in the Councils response to the provisional settlement, as detailed in **Appendix 3**.
- 5.12 Whilst, the previous paragraphs outline significant concerns regarding the use of spending power this is currently the only information available nationally to compare Hartlepool's position with other areas. Analysis of DCLG figures highlights that the cut in Hartlepool's spending power for 2013/14 is greater than the national average for all Councils and the Unitary Authority average, as summarised below:
- Hartlepool spending power cut 2.2%;
 - National average of spending power cut 1.7%;
 - Unitary Authority average spending power cut 1.6% (range 0.2% to 2.8%);
 - 3 Unitary Councils will receive Spending Power increases of between 0.1% and 0.6% - Leicester, Peterborough and Luton;
 - Hartlepool's Spending Power cut per dwelling is the 3rd highest out of 55 Unitary Councils and the highest in the North East;

- 5.13 The following table compares Hartlepool's spending power cut with the other North East Councils.

Summary of Spending Power cuts and Spending Power per Dwelling
(based on DCLG figures)

	Spending Power Cut %	Spending Power per Dwelling £
Middlesbrough	0.7	2,581
Newcastle	1.5	2,522
Hartlepool	2.2	2,488
South Tyneside	1.6	2,447
Gateshead	1.8	2,374
Sunderland	1.6	2,346
Redcar and Cleveland	1.3	2,269
National Average	1.7	2,240
Northumberland	2	2,118
Durham	1.4	2,110
North Tyneside	2.2	2,084
Stockton	1	2,018
Darlington	0.3	1,948

5.14 **Grant cuts 2013/14 and impact on 2013/14 budget forecasts**

- 5.15 Actual cuts in Hartlepool's grants for 2013/14 are summarised below. The table includes the cuts already implemented in 2011/12 and 2012/13:

2011/12 and 2012/13 cut £'m	%	Grant	2013/14 Cut £'m	%
10.2	20%	Core Grant	5.34	11%
2.0	22%	Early Intervention Grant	1.27	20%
n/a	n/a	Council Tax Support Grant	1.38	13.6%

- 5.16 The funding position for 2013/14 is complicated by changes the Government are implementing in April 2013 to roll existing specific grants into the main grant paid to Councils and the changes to funding arrangements arising from the re-localisation of Business Rates. As reported previously the Government stated that in 2013/14 no Authority would be any worse off as a result of changes to re-localise Business Rates. This is achieved by having a system of 'tariffs and top-ups', which are included in the 2013/14 baseline, known as 'start-up funding'. Top-up grant is paid to Council's which generate less Business Rates than they currently receive back under the existing system. Hartlepool is a top-up Authority and it is anticipated this

position will continue to apply until 2020 when the first reset of the new system will be completed by the Government

- 5.17 The 2013/14 Provisional Settlement also included details of the Government's proposed funding allocations for Local Council Tax Support schemes. The provisional allocation for Hartlepool of £9.804m is £0.14m less than previously indicated by the Government. The Council will need to fund this shortfall to maintain the reduction in Council Tax Support of 8.5% approved by Council on 24th January 2013.
- 5.18 There will be a benefit of £0.14m in 2013/14 as the actual New Homes Bonus allocation is more than anticipated in the MTFS (i.e. £1.188m compared to £1.048m). The increase reflects the Council's share of the national funding allocated through the New Homes Bonus (NHB) scheme for 2013/14, which is funded from the overall Local Government funding pot.
- 5.19 As reported previously the allocation of NHB needs to be considered in the context of the ongoing cuts in the Council's core Formula grant, which have been implemented since 2010/11, the year before NHB payments commenced. In 2013/14 the Council's core Formula Grant will be nearly £15m lower than it was in 2010/11.
- 5.20 The Grant system also maintains the damping arrangements, which means that some of the poorest area of the Country, including Hartlepool, which continue to face the highest grant cuts, will be protecting less deprived areas. In 2013/14 Hartlepool will lose damping grant of £0.741m, which equates to £17 per dwelling, whereas Councils in more affluent areas will still receive damping grant. (albeit that they still receive less grant than Hartlepool). In the North East only Newcastle receives floor damping grant and as detailed in paragraph 5.13 DCLG Spending Power figures show that Newcastle has Spending Power of £2,522 in 2013/14, compared to £2,488 in Hartlepool.
- 5.21 In summary as a result of the proposed funding detailed in the provisional settlement, compared to the MTFS forecasts, there is a net increase in the budget deficit of £0.766m, as summarised below:

	£'m
Increased Formula Grant Cut	0.766
Lower Council Tax Support Grant	0.140
Total Additional Funding Cuts	0.906
Increased New Homes Bonus	(0.140)
Increase in Budget Deficit	0.766

- 5.22 The additional grant cut increases the 2013/14 budget deficit to £5.992m and proposals for addressing this are detailed in section 6.

5.23 Grant cuts 2014/15 and impact on 2014/15 to 2016/17 budget forecasts

- 5.24 A key feature of the 2014/15 settlement was reported on 21st December 2012 and that was the Government's decision not to provide separate funding allocations for the continuing Council Tax Support Grant in 2014/15. Other funding regimes continue to be identified separately enabling Councils to clearly identify funding levels for these areas, some of these grants are small amounts as summarised below.

	2013/14 Grant £'000	2014/15 Grant £'000
Formula Grant	42,181	n/a
Council Tax Support Grant	9,804	n/a
Sub Total	51,985	46,471
Specific Grant rolled into 'start up funding'		
Early Intervention Grant	5,116	4,789
Learning Disability and Health Reform Grant	2,066	2,118
Local Authority Central Spend Equivalent Grant	1,955	1,955*
2012/13 Council Tax Freeze Grant	991	991
Lead Local Flood Authority Grant	115	115
Homelessness Prevention Funding	74	73
Sub total	10,317	10,041
Total Start Up funding	62,302	56,512

* This is the provisional allocation for 2014/15 and the actual allocation will depend on the number of schools converting to Academies, both nationally and in Hartlepool.

- 5.25 On 11th January 2013 the Department of Communities and Local Government emailed a 'communication update' to Councils in response to a number of queries they had received in relation to the level of Council Tax Support Funding for 2014/15. The communication update made the following statements:-

- i) There is no reduction in the overall funding for Council Tax Support for 2014/15. The allocation for England is £3.3 billion in both 2013/14 and 2014/15, in line with 90% of the forecast Council Tax Benefit expenditure;
- ii) We have been clear for some time that funding for Council Tax Support would be provided as part of the Business Rates Retention scheme. Including the funding within the Business Rates Retention scheme has been a key to maximising the share of Business Rates and growth that is locally retained;
- iii) The Government consulted widely over the summer on the basis for distributing funding between authorities. Council Tax Support funding will only be separately identified in 2013/14

allocations. From 2014/15, the level of Council Tax Support funding and formula funding combined will be scaled back for individual Councils according to their combined spending trajectory, by service tier;

- iv) Ministers will of course consider all representation on individual Authority allocations made during the current statutory consultation before making decisions on the final settlement.

5.26 Whilst, the 'communication update' clarifies the Government's position, the above statements are contradictory and this position could be avoided if the Government continued to provide a separate allocation for Council Tax Support funding for 2014/15 and future years. Separately identifying Council Tax Support funding would provide much clearer transparency of the funding provided for this expenditure, which is essential to ensure the implications of this fundamental transfer of responsibility from Central to Local Government are fully understood. It is also important that the impact of this change is identified separately to the cuts in funding for core Council services as these issues need to be considered separately. These concerns were included in the Council's response to the provisional settlement announcement.

5.27 From the Council's perspective the statement in paragraph 5.25 (iii) that 'from 2014/15, the level of Council Tax Support funding and formula funding combined will be scaled back for individual Councils according to their combined spending trajectory, by service tier' is a significant concern. This statement could either be interpreted as:-

- Scenario 1 – Confirms the 2014/15 Council Tax Support Grant is cash frozen at the 2013/14 level. This is the planning assumption previously reported to Cabinet and the basis used for the medium term forecasts used in the development of the Local Council Tax Support scheme reported to Council in January and within the MTFS forecast; or
- Scenario 2 – Indicates that whilst national funding in 2014/15 for Council Tax Support funding will not be reduced, allocations to individual Council's will be reduced 'according to their combined spending trajectory'. Under this scenario the funding available for rolling the Local Council Tax Support Scheme forward in 2014/15 would be less than the current planning assumption, which could either increase the cuts in Council Tax Support to 45% in 2014/15, or result in an additional General Fund budget pressure of around £1m if Members determined to limit the cut in Council Tax Support in 2014/15 to 15%, as reported to Council in January.

5.28 Based on existing information provided by the Government, the above scenarios provide the same overall funding level for the Council for

2014/15, although there is a significant potential difference in the make-up of this funding, as highlighted in the following table.

	Scenario 1 Grant cut (percentage cut on 2013/14 grant)	Scenario 2 Grant cut (percentage cut on 2013/14 grant)
Council Tax Support funding	£9.604m (2%)	£8.765m (10.6%)
Formula Grant	£36.867m (12.6%)	£37.706m (10.6%)
Total Funding	£46.471m (10.6%)	£46.471m (10.6%)

- 5.29 For planning purposes the development of the MTFS and the Local Council Tax Support scheme is based on **scenario 1**.
- 5.30 On this basis and as reported on 21st December 2012 the settlement announcement provides a headline Formula Grant allocation for 2014/15 of £36.867m, which is a cut of £5.314m on the 2013/14 allocation of £42.181m. This is a cut of 12.6%, compared to a forecast cut of 9.4% (£4m).
- 5.31 The previous report had anticipated a higher 2014/15 grant cut owing to the impact of the additional 2% funding cuts announced by the Chancellor in the Autumn Statement. At the time Members were advised that it was anticipated this additional grant would be implemented as an across the board grant cut for all Council's and this would have a disproportionate impact on Council's which are more dependant on Grant funding. An initial assessment indicated that the additional 2% Grant cut on Hartlepool anticipated an additional Grant cut of £0.8m. This assessment assumed that Council Tax Support funding would be identified separately. As detailed earlier in the report this is not the case and this is one of the reasons for the higher grant cut in 2014/15.
- 5.32 The other main reason for the higher grant cut is the way in which 'resource equalisation' has been addressed in the 2014/15 grant allocations. Whilst, some aspects of these changes are positive, particularly in 2013/14, the overall impact is negative and from 2014/15 'resource equalisation' has been cut at a national level, which feeds into Hartlepool's 2014/15 grant cut. This risk was highlighted in previous reports as whilst the Government provided a commitment for 2013/14 (the first year of the new funding system for Councils) that no Council would be any worse off than they would have been if the changes had not been implemented, no such guarantee was provided for 2014/15 and future years. This is a significant concern as this arrangement will determine grant allocations until 2020, which is the

date of the first reset of the new grant system. This concern was covered in both the Councils and the Association of North East Councils response to the provisional settlement.

- 5.33 In terms of the grant allocations for 2015/16 and 2016/17 these will be determined through a combination of the Government Spending Review and the Local Government Finance Settlement for these years. At this stage the existing planning assumptions of grant cuts for these two years of between 5% and 7.5% per year are still the recommended planning assumptions.
- 5.34 The updated budget position also reflects the impact of specific grants transferring into the Formula Grant. Under the previous funding arrangements spending on these areas was contained within the overall cash grant, including the impact of inflation. Under the new funding arrangements the Council will need to provide inflation on these areas on the same basis as all other General Fund budgets and this will increase the budget gap. This risk has been identified in previous years' MTFS reports and effectively represents an additional funding cut. However, it could not be quantified until the Government determined which grants would transfer and the allocations for individual Councils. Part of this impact will be deferred until 2015/16 owing to the strategy the Council is adopting for managing the impact of one of these grant transfers i.e. the Early Intervention Grant as detailed later in the report.
- 5.35 The issues detailed in the previous paragraphs will increase the forecast budget deficits for the period up to 2016/17 by £1.996m as summarised below:

	£'000
Additional ongoing grant cut	1,464
Impact on inflation on mainstreamed grants	532
Total increase in budget deficit	1,996

- 5.36 As a result of the above factors the overall forecast deficit for the 4 years up to 2016/17 has increased as summarised in the following table:-

	Low £'000	High £'000
Forecast reported 17.12.12	19,094	21,094
Impact of higher grant cuts in 2013/14 and 2014/15 and inflation on grants mainstreamed	1,996	1,996
Revised budget deficit	21,090	23,090

- 5.37 The higher grant cuts in 2013/14 and 2014/15 than forecast will mean that as well addressing an increase in the overall deficit over the period

up to 2016/17, the Council will need to implement these cuts earlier. Proposals for addressing the increased deficits in 2013/14 and 2014/15 are detailed later in the report.

5.38 The 2015/16 and 2016/17 budget forecasts will need to be reviewed before the 2014/15 budget process commences as a range of planning assumptions will need to be updated as circumstances change. These issues will include:

- The impact of the next Spending Review on forecast grant cuts for 2015/16 and 2016/17;
- Provision for pay awards to reflect annual national pay negotiations;
- Government decisions on Council Tax referendum thresholds for 2014/15 and future years, which may impact on the indicative Council Tax increases included in the budget forecasts;
- New Home Bonus allocations for 2014/15 and future years;
- The impact of actual inflation on non pay budgets and how this compares the budget forecasts; and
- The impact of demographic pressures.

6. 2013/14 General Fund budget, savings plan and risk

6.1 The previous MTFS reports considered by Cabinet provided a comprehensive analysis of the national and local issues impacting on the Council's financial position for 2013/14. This included budget pressures of £0.635m detailed in **Appendix 4** which are included in the overall budget position for 2013/14. **Appendix 5** provides details of the key financial assumptions underpinning the 2013/14 budget.

6.2 No provision has been made in the 2013/14 budget proposal for increased Older People costs arising from demographic pressures. In 2012/13 these costs exceed the budget by around £0.5m and this additional cost is being offset by underspends in other budgets. It is anticipated that this level of expenditure will continue in 2013/14 and these additional costs will be funded from a combination of the risk reserves (£0.42m) earmarked to manage risk and volatility in this area and increased Social Care grant provided by the Government. The exact mix of these different funding streams will depend on how much of this expenditure can be funded from the Social Care grant. This is currently being assessed and details will be reported to Members when this work has been completed. This assessment will also consider the longer term impact for 2014/15 to determine if there is a permanent budget pressure in this area. At this stage it is anticipated the available risk reserve and the Social Care grant will provide sufficient funding for 2013/14, 2014/15 and 2015/16. However, this is a risk area as expenditure will depend on demographic pressures, actual caseloads and the extent to which other forms of support can be provided to reduce costs. Therefore, this issue will need to be reviewed annually as part of the overall budget process.

- 6.3 The December MTFS report also provided details of the updated position on a range of budget issues which it was recommended in our professional view need to be included in the 2013/14 budget. This recommended advice is still appropriate and these issues have been included in the budget forecast and cover the following factors:

	£'000
Increases in budget deficit	
<u>People Services Collaboration saving</u> Provision needs to be made for the delayed achievement of forecast saving from People Services collaboration. As reported in December 2012 these savings were always going to be one of the most challenging savings proposals for 2013/14. Work completed to date now indicates that a full year saving will not now be achieved in this area. This risk has previously been recognised and a risk reserve of £0.5m recommended. This will enable the Council to manage phasing delays in the achievement of these savings. When account is taken of other changes in 2013/14 planning assumptions it is recommended that £0.367m of this reserve is used in 2013/14 to offset the delayed achievement of these savings.	500
<u>Looked After Children Pressure</u> Increased demand for children's social care services and workload pressures within the system resulting in need for additional capacity within social work teams to manage demand and ensure caseloads remain at safe level (included in Appendix 4 – Schedule of 2013/14 Budget pressures)	96
<u>Denominational School Transport</u> Following the Council decision in February 2012 to provide one-off funding to defer making this saving in 2012/13 the MTFS forecast anticipated this saving being made in 2013/14. Following the decision by Cabinet on 19 th November 2012 the anticipated saving included in the previous MTFS forecast will not be achieved.	125
Permanent Savings	
<u>External Audit Fee savings</u> An initial assessment of the forecast External Audit Fee savings was included in the June 2012 MTFS report. Based on information received from Mazars (the new	(105)

external auditors) on 1 st November 2012 in relation to the 2012/13 External Audit fee it is anticipated that the ongoing saving in 2013/14 will be £105,000, which is £15,000 more than initially forecast and included in the MTFS. This fee level assumes the timely preparation of good quality financial statements and working papers.	
<u>Director of Regeneration and Neighbourhood Services saving</u> Saving reflects lower salary and associated pension and national insurance savings approved by full Council.	(36)
Temporary Savings	
<u>Chief Executive's savings</u> The MTFS forecast reported on 4 th October included a permanent savings from the reduction in the Chief Executive's salary approved by full Council. Following the appointment of the current Chief Executive there will also be a temporary employers' pension contribution saving (£24,000) as the current Chief Executive is no longer in the pension scheme and his pension will be based on his previous salary as Director of Regeneration and Neighbourhoods. This saving will continue while the existing officer is Chief Executive, although it will not be sustainable when there is a change in Chief Executive. There will also be a temporary savings (£10,000) as the Chief Executive was appointed at the bottom of the revised salary grade.	(34)
<u>Human Resources Saving</u> The Chief Executive is currently reviewing all departmental structures and will be making recommendations to Cabinet on a proposed structure early in the New Year. In relation to the Chief Executive's department these proposals will need to address issues in relation to the Human Resources function, in particular the shared Head of Human Resources post. Members will recall that when this arrangement was initially entered into a saving of £51,000 was included in the base budget leaving a net budget provision of £51,000. The Chief Executive's review of the structure will address this issue and recommend whether the whole of this budget is needed to replace lost HR capacity and capability, or whether part, or the whole	(15)

of the remaining budget can be taken as a saving. Until this review is complete existing temporary arrangements will continue. Therefore, for planning purpose a minimum temporary saving of £15,000 can be included in the 2013/14 budget.	
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- 6.4 After reflecting the factors detailed in the previous paragraphs, the actual 2013/14 grant cut and an assumed Council Tax increase of 1.99% the revised budget deficit for 2013/14 is £5.992m. This is £0.766m higher than forecast owing to the impact of the additional grant cuts announced on 19th December 2012. The development of the budget strategy for 2013/14 commenced last year and was based on balancing the 2013/14 budget through a combination of permanent budget cuts and the use of one-off resources, which were earmarked to help manage the position over more than one year to provide more time to implement permanent budget reductions. The multi-year approach enables manage budget underspends to be allocated to temporarily maintain services at a time of sustained cuts in Government grants. Details of these proposals were reported to Cabinet in December 2012 and are set out in the following paragraphs. Section 7 provides details of the proposed Council Tax increase for 2013/14, the Governments' Council Tax freeze arrangements and the impact of these issues on the MTFS.
- 6.5 The 17th December 2012 MTFS report provided details of Departmental savings plans for 2013/14 as summarised in the following table, which shows total savings of £3.364m. This is £36,000 more than planned savings of £3.328m. Detailed reports on the individual 2013/14 savings are set out in the Appendices to this report as shown in the following table:

Appendix	Project Title for the Cabinet Report	Project Savings agreed by CMT (£,000)
6	Adult Social Care	860
7	Community Services	205
8	Home to School Transport	100
9	Performance & Achievement	100
10	Prevention, Safeguarding & Specialist Services	475
11	Resources & Support Services Division of Child & Adult Services	91
12	Regeneration & Planning Services	201
13	Resources Division of the Regeneration & Neighbourhoods Department	228
14	Transportation and Engineering Services	254
15	Waste Management Services	400
16	Chief Executives Department	200
		3,114
N/a	Three Borough People Collaboration - As detailed in paragraphs 6.3 the full year saving will not be achieved and a reduced part year savings of £0.250m is forecast for 2013/14.	250
	Total Savings	3,364

- 6.6 The detailed savings reports include a risk assessment section detailing financial and non financial risks of achieving the proposed savings. In terms of financial risks a corporate assessment of the achievability and sustainability of savings has also been completed based on analysing savings between reductions in pay budgets, non pay budgets and income generation, as summarised below:

	Pay savings £'000	Non pay budget savings £'000	Increased income £'000	Total Saving £'000
Chief Executive's Department	155	25	20	200
Child and Adult Services	759	998	74	1,831
Regeneration & Neighbourhoods	332	558	193	1,083
Total	1,246	1,581	287	3,114
Savings as percentage of total	40%	51%	9%	100%

- 6.7 The above table indicates that 40% of the overall savings will be achieved by reducing pay budgets. As detailed in previous reports this is slightly lower than the overall percentage of the current budget which is spent on pay costs of 56%. Further analysis of the proposed pay savings has identified that £0.657m (53%) of the overall saving in this

area will be achieved by deleting vacant posts. This position reflects management action taken to hold posts vacant where possible to reduce the need for compulsory redundancies as part of the 2013/14 budget. This action is not sustainable over the period of the MTFs and in future years the number of compulsory redundancies will increase as it will not be possible to hold posts vacant.

- 6.8 With regard to the 2013/14 pay saving which cannot be achieved by deleting vacant posts of £0.589m the Corporate Management Team will continue to manage vacancies during the remainder of the year to provide redeployment opportunities for staff at risk of redundancies.
- 6.9 In terms of managing the financial risk of achieving the overall savings target for 2013/14 the pay savings detailed in the previous paragraphs reduces the financial risk of delivering sustainable savings for 2013/14. Owing to the timetable for approving individual savings proposals and the notice period of individual staff affected by these proposals some of these savings may not be achieved from the 1st April 2013. In order to enable the full saving to be taken into account when the 2013/14 budget is set it is recommended that any salary payments due for notice periods after 1st April 2013, which are not anticipated to be significant, are funded from the overall resources allocated for Redundancy and Earlier Retirement costs. This will not adversely impact on the funding available to future Redundancy and Early retirement costs in the period 2014/15 to 2016/17, which are anticipated to be significant owing to the scale of the budget deficits facing the Council in these years.
- 6.10 With regard to the non pay and income savings these are based on robust business cases, as described in the detailed report for each area. However, these areas are not without risk and any shortfall in planned savings will need to be addressed by departments identifying alternative proposals for Members approval if this proves necessary. These areas will continue to be managed carefully during 2013/14.
- 6.11 The ICT procurement is also progressing as planned and the stages of the competitive dialogue completed to date indicated that the anticipated savings will be achieved. For 2013/14 this is anticipated to provide a part year saving of £0.3m.

- 6.12 In terms of one-off resources it is recommended that £2.318m of funding can be used to support the 2013/14 budget as set out in the following table:

	£'m
Contribution from 2011/12 outturn to partly offset removal of 2012/13 Council Tax freeze grant	0.345
Contribution from 2012/13 outturn to offset forecast additional 2013/14 grant cuts reported before actual grant cuts were known	0.850
Contribution from the 'Delayed implementation of planned 2013/14 and 2014/15 savings reserves' to offset part of the reduced People Collaboration savings in 2013/14 (paragraph 6.3)	0.367
Sub Total - Planned use before actual 2013/14 Grant cut known	1.562
Contribution from 2012/13 Collection Fund Surplus (£0.737m) and 2013/14 outturn (£0.029m) to offset actual grant cut being higher than forecast	0.766
Total One-off Funding	2.328

- 6.13 In summary it is recommended that the 2013/14 budget gap of £5.982m is bridged from a combination of permanent budgets cuts and the use of one-off resources as summarised below:

	£'m
Permanent budget savings (includes part year ICT procurement savings)	3.664
Use of one-off resources	2.318
Total	5.982

6.14 Impact of above strategy on 2014/15 to 2016/17 budget position

- 6.15 As reported previously and detailed earlier in this report the use of one-off resources to balance the 2013/14 budget is designed to provide a longer lead time to implement budget cuts. On this basis and the forecast ongoing grant cuts the Council will need to make additional cuts by the start of 2016/17 of between £17.426m and £19.426m (i.e. gross budget deficit for the period 2013/14 to 2016/17 of between £21.590m and £23.590m detailed in paragraph 5.36, less planned 2013/14 savings of £3.664m).
- 6.16 As part of the budget plans for managing this position a two year saving plan for 2013/14 and 2014/15 has been developed, which aims to achieve ongoing savings for implementation by 1st April 2014 of £9.4m (i.e. £3.7m in 2013/14 and £5.7m in 2014/15), consisting of three key elements:

- The achievement of Departmental savings;

- The achievement of collaboration savings; and
 - The achievement of ICT procurement savings.
- 6.17 The achievement of the ongoing additional savings for 2014/15, particularly in relation to proposed collaboration savings will be extremely challenging. Even if all these savings are achieved the Council still faces an unfunded budget deficit in 2014/15, owing to the impact of the higher ongoing grant cuts for 2014/15 than forecast when this initial plan was developed.
- 6.18 As detailed earlier in the report collaboration savings were always recognised as the most challenging to achieve and the work completed to date underlines this position.
- 6.19 In financial terms the following table highlight the scale of the financial challenges facing the Council over the next two years, assuming two scenarios as detailed below. As in previous years the Corporate Management Team will be considering the overall position of the Council before the end of this financial year and determine some initial plans which provide a suitable and manageable lead in for the delivery of these significant savings. This will build upon work already considered and some plans developed in draft but which will require review in the light of the increased savings requirements for the next three years.

Scenario 1 – Low forecast deficit 2014/15 to 2016/17 of £17.426m

This scenario reflects the provisional 2014/15 grant cuts and **annual grant cut of 5%** in 2015/16 and 2016/17.

	2014/15 £'000	2015/16 £'000	2016/17 £'000
Gross Budget deficit	8,524	5,227	3,675
Departmental Savings plan – year 2 savings (includes ICT)	(3,940)	0	0
Ongoing additional collaboration savings – assumes £0.25m achieved in 2013/14 and sustained	(1,792)	0	0
Net deficit still to fund from additional savings	2,793	5,227	3,675

Scenario 2 – High forecast deficit 2014/15 to 2016/17 of £19.426m

This scenario reflects the provisional 2014/15 grant cuts and **annual grant cut of 7.5%** in 2015/16 and 2016/17.

	2014/15 £'000	2015/16 £'000	2016/17 £'000
Gross Budget deficit	8,524	6,227	4,675
Departmental Savings plan – year 2 savings (includes ICT)	(3,940)	0	0
Ongoing additional collaboration savings – assumes £0.25m achieved in 2013/14 and sustained	(1,792)	0	0
Net deficit still to fund from additional savings	2,793	6,227	4,675

7. Council Tax 2013/14

- 7.1 As reported in November the Government has announced details of the proposed 2013/14 Council Tax Freeze Grant and referendum trigger points, as follows:
- Council Tax Freeze Grant – a 1% grant will be paid to local authorities which freeze the 2013/14 Council Tax at the current level. This grant will be paid for two years - 2013/14 and 2014/15.
 - Council Tax referendum threshold – this will be reduced from 3.5% in 2012/13 to 2% for 2013/14.
- 7.2 The Council Tax Freeze proposal was confirmed as part of the Provisional Local Government Finance Settlement on 19th December 2012. The Government also indicated that in the next Spending Review this funding will have the same status as other funding. It is unclear what this statement means. What is clear is that the Council Tax Freeze Grant for 2013/14 is a two year grant payable in 2013/14 and 2014/15. Therefore, for planning purpose this is the basis for assessing the impact of the Government's 2013/14 Council Tax freeze proposal.
- 7.3 The June 2012 MTFS report recognised the risk of the Government reducing the Council Tax referendum thresholds and recommended reducing the forecast annual Council Tax increases included in the MTFS for 2013/14 to 2016/17 from 3.5% to 2.5%. This proposal was approved by Cabinet and increased the budget deficits over the period of the MTFS.
- 7.4 In view of the Government's previous announcements the MTFS is based on setting a Council Tax increase just below 2% i.e. at 1.99% for 2013/14.

- 7.5 Cabinet now needs to determine the final proposals it wishes to refer to full Council in relation to the level of Council Tax for 2013/14. This decision needs to take account of both the immediate impact on the Council's financial position in 2013/14 and also the longer term impact beyond 2013/14.
- 7.6 Another factor the Council needs to consider is the level of the Council Tax referendum trigger which the Government may set in future years, which is currently unknown. The Government's policy over the period 2011/12 to 2013/14 has been to reduce both the period Council Tax Freeze Grant is paid for and the value of the grant. At the same time the Council Tax referendum thresholds for 2013/14 are lower than they were in 2012/13. Against this background the best that Councils can plan for 2014/15 is that the Council Tax Freeze Grant and referendum trigger points will be the same as for 2013/14. However, there is a risk that lower levels could be implemented, which would further undermine individual Councils financial resources and exacerbate the impact of continuing grant cuts.
- 7.7 The impact of the options available to the Council for 2013/14 are detailed below:
- 7.8 Impact of increasing Council Tax by 1.99%

This option is more sustainable than accepting the Council Tax Freeze Grant of 1% as it will generate additional ongoing Council Tax income of £0.6m in 2013/14 and future years. The Council's ability to achieve additional sustainable income is particularly important at a time of reducing Government grant as this income helps to partly mitigate the impact of these funding cuts on services.

The option will impact on household budgets and the weekly additional charge per household will be as follows if this option is implemented:

Property Band	Percentage of houses in each band	Additional weekly charge arising from a 1.99% increase in HBC own Council Tax
A	46.9%	0.36p
B	16.4%	0.42p
C	16.1%	0.48p
D	9.5%	0.54p
E	5.7%	0.66p
F	2.8%	0.78p
G	2.3%	0.90p
H	0.3%	1.08p
	100%	

7.9 Impact of accepting the 2013/14 Freeze Grant of 1%

As reported previously temporary Council Tax freezes result in permanent funding reductions. Accepting the 2013/14 Council Tax Freeze Grant will reduce ongoing gross income by £0.6m.

This permanent income reduction will be offset by a reduction in the budget pressure for the Local Council Tax Support scheme of £0.2m as provision will not be needed to be made for the increased costs arising from a 1.99% Council Tax increase. This reduces the ongoing net income loss to £0.4m. It will not be possible to make up this loss in future years through higher Council Tax increases as this would require a Council Tax Referendum and it is unlikely that the public would vote to pay higher Council Tax.

If the Council determines to freeze Council Tax an additional 1% grant will be paid by the Government for 2 years. It was previously anticipated this grant would be calculated on the basis of the reduced Council Tax base after reflecting the impact of the Council Tax Benefit changes. This would have provided Hartlepool with a grant in 2013/14 and 2014/15 of £0.3m. As this is a time limited grant this does not provide a permanent solution to the permanent loss of Council Tax income of £0.4m and simply defers part (£0.3m) of these additional cuts until 2015/16, as summarised in the following table.

	2013/14 £'000	2014/15 £'000	2015/16 £'000
Permanent reduction in net resources from freezing 2013/14 Council Tax	400	400	400
Council Tax Freeze grant – received for 2 years	(300)	(300)	0
Additional sustainable 2013/14 budget cuts	0	(100)	(100)
Increase in budget cuts	100	0	300

- 7.10 The Settlement announcement on the 19th December 2012 stated that the Government will actually base Council Tax Freeze Grant payments for 2013/14 and 2014/15 on the average Council Tax level and average gross Council Tax base (i.e. before the reductions to reflect the impact of the Council Tax Benefit changes) for the previous two years (2011/12 and 2012/13). If Hartlepool determined to freeze Council Tax this would provide slightly higher one-off grants for 2013/14 and 2014/15. The revised arrangement simply defers the impact of having to make the whole of additional grant cuts until 2015/16 as summarised below:

	2013/14 £'000	2014/15 £'000	2015/16 £'000
Permanent reduction in net resources from freezing 2013/14 Council Tax	400	400	400
Council Tax Freeze grant – received for 2 years	(400)	(400)	0
Additional sustainable 2013/14 budget cuts	0	0	0
Increase in budget cuts	0	0	400

The Government have not provided a detailed explanation for calculating Council Tax freeze grant on this basis, which actually increases the national cost. It is not thought that this has been done to help Councils, but is a pragmatic solution to reflect the fact that until all Councils have determined their Local Council Tax Support schemes the Government does not have the data to calculate allocations as originally anticipated based on the new Council Tax base.

This clarification does not change the fundamental impact that freezing Council Tax for 2013/14 will increase the budget cuts which the Council will need to make; it simply defers the whole of the additional cuts until 2015/16. As detailed earlier in the report 2015/16 will be a very difficult budget year owing to the cuts which will have been made in previous years. The financial challenges (and cuts required) in 2015/16 will therefore be increased if Council Tax is frozen next year.

- 7.11 In summary increasing Council Tax by 1.99% will generate additional permanent income, which is particularly important during a period of Government grant reductions. Accepting the Council Tax Freeze Grant will require additional budget cuts of £0.4m to be made before the start of 2015/16. It is therefore recommended by the Corporate Management Team that a Council Tax increase of 1.99% is implemented as this maximises the Council's ongoing income base and provides greater protection for services.
- 7.12 For 2015/16 and 2016/17 it is recommended that the indicative Council Tax increases of 2.5% are maintained, as the Council will need to begin increasing Council Tax income to partly mitigate the ongoing impact of further expected grant cuts. Central Government will need to recognise that if Council Tax continues to be constrained at a time of continuing grant cuts that Councils will become unviable and unable to provide local services. The indicative 2015/16 and 2016/17 Council Tax increases will need to be reviewed when more information is available.
- 7.13 For 2013/14 the Government is removing the requirement on Local Authorities to provide an explanatory leaflet with Council Tax bills. Whilst, the statutory requirement is being removed it is recommended that a leaflet is provided with the 2013/14 Council Tax bills as this provides an opportunity to explain to the public the financial issues

facing the Council, the strategy for dealing with these issues and an explanation of the decisions taken in relation to the level of Council Tax for 2013/14. The additional cost of producing the black and white Council Tax information leaflet is £1,800, as all other costs of printing and distributing the Council Tax bills will still be incurred. This cost can be funded from the existing budget.

8. Early Intervention Grant (EIG)

- 8.1 The EIG was established in 2011/12 and funded from a number of specific grants. Hartlepool's initial EIG allocation for 2011/12 was nearly 22% lower than the previous separate grant allocations.
- 8.2 The previous MTFS report anticipated the EIG reducing from £6.440m in 2012/13 to between £4.79m and £4.92m in 2014/15, with the grant cuts being fronted loaded in 2013/14.
- 8.3 The provisional settlement on 19th December confirmed that by 2014/15 the EIG will reduce to £4.789m, a £1.611m cut on the current year – a cut of 25%.
- 8.4 The cut will be fronted loaded and in 2013/14 the reduction will be £1.276m, compared to a forecast of £1.150m. The cut in 2013/14 can be covered from the available EIG reserve earmarked to manage this grant reduction, although this may reduce flexibility in 2014/15.
- 8.5 These cuts are not unexpected and previous reports identified the risk of cuts in EIG. In response to this risk a careful assessment of EIG commitments has been adopted since this funding regime was introduced and this strategy delivered an under-spend in 2011/12. It is also planned to achieve an under-spend in 2012/13. Based on current forecasts for 2012/13 and the under-spends achieved in 2011/12 this should provide one-off funding of between £1.431m and £1.531m, depending on the actual outturn for 2012/13. A significant part of the 2012/13 managed under-spend relates to service areas transferring from the EIG into School funding in 2013/14, so cannot be repeated.
- 8.6 In view of the EIG funding cuts over the next 2 years Cabinet previously approved the recommended strategy of allocating the under-spends from previous years to temporarily offset these grant cuts. This strategy will not provide a permanent solution. However, the alternative strategy would be to cut EIG services from April 2013 to the level of the reduced grant.
- 8.7 The recommended strategy provides a longer lead time for Members to assess the implications of reducing EIG services to the level of the ongoing EIG funding. A detailed report will be brought back to a future meeting to propose a permanent strategy. This report will also address the exact amount of the EIG Reserve which needs to be allocated to support the service in 2013/14. In terms of setting the budget it is

proposed that a maximum contribution of £1.276m (i.e. the level of grant cut for 2013/14) is approved. However, the actual contribution is anticipated to be lower reflecting the element of the 2012/13 underspend which can be sustained and the phased implementation of permanent reductions in 2013/14 when these are approved by Members. This strategy will enable an additional element of the overall reserve to be carried forward to 2014/15 and help manage the reduction in this area to the level of the ongoing grant.

8.8 As detailed earlier in the report the reduced 2014/15 EIG allocation will then be rolled forward in the base budget for 2015/16 in the same way as other budgets and inflation added to this budget. The impact of this position is reflected in the budget forecasts for 2015/16 and future years detailed earlier in the report.

8.9 The strategy for addressing the cut in the EIG will also include the impact of redundancy / early retirement costs which will need to be funded from the Council's overall redundancy / early retirement provision.

9. Local Authority Central Spend Equivalent Grant (LACSEG)

9.1 Previous reports advised Members of the cuts in the Formula Grant arising from the transfer of Local Education Authority (LEA) funding to academies to reflect the transfer of responsibilities to individual schools. This position affected all LEAs irrespective of the number of academies in an individual authority's area and meant that in 2011/12 and 2012/13 Hartlepool lost funding even though there were no academies. The arrangements for top slicing the Formula Grant do not reflect the costs which will remain with LEA, even if all schools became academies.

9.2 The 2012/13 budget included a provision of £0.28m to off-set the grant reduction. This amount will not be needed in the current year as, following legal challenge by a number of authorities, the Government have withdrawn these arrangements and will be refunding the grant cuts already made for 2011/12 and 2012/13. Detailed allocations for individual councils are not yet known, although it is anticipated Hartlepool may receive a refund for these years of £0.48m. Assuming this amount is received this will mean the Council has £0.76m (£0.28m in-year budget underspend, plus £0.48m one-off grant refund) of one-off resources at the end of the current year.

9.3 Whilst, the Government has now reversed the previous arrangements for transferring funding, they have confirmed that new arrangements will be implemented for 2013/14. The new arrangements will involve removing Local Authority Central Spend Equivalent Grant (LACSEG) from the main Formula Grant from 2013/14. The national amount top sliced from the Formula Grant will then be allocated by the Government between LEAs and academies in each LEA's area. The more

academies there are in an area the lower the funding which will be allocated to the LEA. There is a significant risk that the funding allocated to individual authorities will not be sufficient to fund statutory, regulatory and overhead costs currently funded from LACSEG. This risk will increase as more schools become academies.

- 9.4 Nationally this funding change has remove £1.2 billion from the Formula Grant. The Government has stated that Hartlepool's LACSEG transfer is £1.955m, which is £0.397m less than the current allocation. If Hartlepool schools become academies further in-year grant reductions will be made during 2013/14 and future years. These reductions will be £139,000 per secondary school and £33,000 per primary school, which is less than previously forecast owing to national changes and clarification of how the new funding arrangements will work. In addition, if more schools become academies during 2013/14 or future years the Government may top slice the national funding and make in-year reductions in individual authorities grant allocations.
- 9.5 To address the LACSEG grant cut in 2013/14 it is recommended that £0.397m of the LACSEG reserve is allocated to support this area and the remainder of this reserve (£0.363m) earmarked to manage the impact of additional schools becoming academies in 2013/14 and future years.
- 9.6 This strategy is not sustainable, as the funding cuts when schools become academies are permanent, and a strategy needs to be developed to address this issue. This strategy needs to determine the minimum level of resources which will be needed to discharge the Council's statutory and regulatory duties as an LEA. It also needs to address the impact on overheads currently funded from the LACSEG. At this stage it is not known how much funding will be provided for these costs, whether the required services can be delivered within the available resources, or whether there will be a budget pressure in 2014/15 and future years.
- 9.7 The availability of this one-off funding provides the Council with the necessary financial flexibility to review this position over the next 12 months and to develop a strategy for managing this position. It is therefore recommended that the one-off funding not needed to fund grant reductions in 2013/14 is allocated towards developing this strategy. This will also include the impact of redundancy / early retirement costs which will need to be funded from the Council's overall redundancy / early retirement provision.

10. Public Health Funding

- 10.1 As Members will be aware Public Health responsibility and funding will transfer to Councils in April 2013. Details of individual Councils funding allocations were provided on 11th January 2013 (again later than anticipated) and Hartlepool has been allocated £8.255m for

2013/14 and £8.486m for 2014/15. This allocation is higher than previously indicated by the Government and Officers are working through the detailed regulations to assess the impact of this funding allocation.

- 10.2 This work includes identifying existing contractual commitments which will transfer to the Council and will be funded from the Public Health grant. This work will take time to complete and does not need to be finalised in time for setting the 2013/14 General Fund budget as this is a ring fenced grant. The Council needs to complete a comprehensive assessment of this new responsibility, including the financial risk of managing a significant new funding stream.
- 10.3 Both nationally and at an individual Council level it will be essential that Local Authorities implement this new responsibility successfully. It is therefore, prudent and the recommended professional advice of the Corporate Management Team (including the Director of Public Health) that a careful assessment of this area is completed and a separate detailed report on the use of Public Health funding prepared and submitted to a future meeting for Members consideration. The report will outline proposals for integrating public health, both operationally and financially, into the Council to maximise the benefits in 2013/14 and future years. A key part of this strategy will be the identification of the new opportunities, risks and proposals for managing these issues that transfer to the Council on 1st April 2013.

11. Capital Programme 2013/14

- 11.1 There are three elements to the capital programme, namely schemes funded from specific Government Capital Grants, schemes funded from the Council Capital Fund and self funding schemes. The total value of the 2013/14 Capital Programme is £15.338m and **Appendix 17** provides details of individual schemes/funding regimes and how this capital expenditure will be funded.
- 11.2 **Schemes funded from specific Government Capital Grant** – as detailed in Appendix 17 the Council will receive the following Capital Grant in 2013/14:
 - Local Transport schemes £1.351m;
 - Schools Capital Programme £1.7m;
 - Adult Social Services £0.269.
- 11.3 Detailed proposals for using these capital allocations will be reported to the relevant Portfolio Holder for approval.
- 11.4 The Council will also receive a range of specific Capital Grants totalling £7.303m, as detailed in Appendix 17. These resources can only be spent on the specific schemes covered by the individual funding approvals.

- 11.5 **Schemes funded from the Council Capital Fund** – this capital expenditure is funded from Prudential Borrowing and the resulting annual repayment costs picked up as a revenue budget pressure. As part of the approved 2012/13 budget a Council Capital Fund of £1m was approved to cover capital expenditure requirements in 2012/13 and 2013/14. Council approved the allocation £0.582m to fund specific schemes in 2012/13 and the carry forward of £0.418m for schemes in 2013/14. Use of the carry forward funding will need separate Council approval.
- 11.6 A review of previously approved schemes has been completed to reflect the completion of schemes and the value of resources to carry forward to fund schemes in 2013/14 is £0.491m. In addition, the revenue budget pressures identified for 2013/14 include provision for an additional Council Capital Fund allocation of £0.6m. Therefore, total funding available for 2013/14 is £1.091m.
- 11.7 Detailed proposals for using this funding are provided at Appendix 17, which includes the following two schemes.
- 11.8 The first proposed scheme for 2013/14 is a contribution of £0.1m towards the reconstruction of the A689 arising from the deterioration of a section of the highway. Detailed condition surveys indicate that a section of the carriageway is now classified as 'red' on the condition survey criteria. Reconstruction is required as soon as practical owing to the high volume of traffic that uses this section of highway on a daily basis and the need to maintain the highway in a safe condition to avoid accidents. Emergency repairs have been carried out using £16,000 of Local Transport Plan funding. This section of road had not previously been identified for reconstruction in the foreseeable future. However, the condition of the road has deteriorated and parts of the road now require reconstruction. The total cost of reconstruction is £0.68m and it is proposed to fund these costs as follows:

	£'000
Council Capital Fund	100
Underspend on the 2012/13 Coast Defence Prudential Borrowing repayment budget of £50,000, which has not been needed to match fund contribution towards Coast defence projects which will now be fully funded from Government Capital Grant. It is anticipated this position will continue in 2013/14.	100
Prudential Borrowing – the annual loan repayment costs arising in 2014/15 will be funded by permanently realigning part of the Coast Defence Prudential Borrowing repayment budget of £50,000.	480
Total Funding	680

- 11.9 The funding proposal will reduce the resources available to match fund Coast Protection works. However, following the success in securing

Government grants to undertake major Coast Protection schemes this proposal will not impact on the delivery of these schemes. The proposal will leave a residual budget provision of £20,000 to match funding future Coast Protection projects.

- 11.10 The issues in relation to the A689 highlight the future financial challenges facing all Councils in relation to the management of infrastructure assets in a period of reducing capital resources and pressure on the revenue budget from grant cuts and demographic pressures. These issues cannot be addressed by individual Councils and at some point the Government will need to develop a strategy to finance the upgrade of infrastructure managed by Councils. Until such a strategy is developed individual Councils' will need to manage the position as best they can and develop local financial solutions.
- 11.11 The second proposed schemes relates to potential works to the Bowls Club building, which will 'reserve' £0.2m of the available Council Capital Fund if approved by Members. There is a separate report on this issue on the agenda.
- 11.12 **Self Funding schemes** – will be funded from Prudential Borrowing and the resulting annual loan repayment costs will either be funded from increased income, or revenue savings arising from the capital expenditure. These items cover the following schemes:

	Capital Expenditure £'000
<p>Recycling Bins</p> <p>£0.680m relates to the new Waste Management arrangements which will provide a net saving of £0.4m in 2013/14, after reflecting loan repayment costs of capital expenditure on new recycling bins needed for the new service. The remaining £0.045m relates to the replacement of existing bins.</p>	725
<p>CCTV Replacement equipment</p> <p>Existing equipment has now reached the end of its operational life and needs replacement. The running costs of new equipment are significantly lower and this saving can be used to fund the loan repayment costs of using Prudential Borrowing.</p>	115
<p>Allotments</p> <p>Allotments fees are being increased to fund the loan repayment cost of using Prudential Borrowing to finance improvements to allotments. This will enable</p>	227

an overall investment of £0.5m which will be completed over 3 years commencing 2013/14.	
Vehicle Replacement Programme	2,420
This expenditure relates to replacement of operational vehicles as detailed in Appendix 17. The costs of using this Prudential Borrowing will be funded from existing revenue budgets, including Trading Accounts.	

11.13 **Empty Homes Project** - A detailed report was submitted to Council on 18th October 2012 recommending that the additional Council contributions to secure increased grant funding for this project should be funded from Prudential Borrowing, which would be repaid from the additional rental income generated from extending this scheme, in line with the original business case. The additional Council contributions related to the inclusion of an additional 3 properties in the project (£165,000) and a contingency provision (£150,000) for managing the financial risk of extending the Empty Homes project. Full Council determined that the additional amounts of prudential borrowing only be drawn upon when any departmental underspends had been exhausted.

11.14 As detailed earlier in the report the achievement of managed departmental underspends is a key component of the overall financial strategy for managing the financial risks facing the Council over the next few years, including the impact of actual grant cuts for 2013/14. This information was not reported to Council when they considered the report on the Empty Homes project. Therefore, it is recommended that the budget proposals to be referred to full Council should recommend that the original strategy for funding the additional costs of £165,000 and £150,000 from Prudential Borrowing, which will be repaid from the additional rental income generated from extending this scheme, in line with the original business case, should be adopted. This strategy will maximise the Councils' overall financial flexibility to address the impact of the actual ongoing grant cuts, whilst providing a robust financial base for the Empty Homes project.

12. **Robustness of Budget forecast – Chief Finance Officer's Professional Advice**

12.1 As indicated in previous years the Local Government Act 2003 introduced a statutory requirement on an Authority's Chief Finance Officer (CFO) to advise Members on the robustness of the budget forecasts and the adequacy of the proposed level of reserves. If Members ignore this advice, the Act requires the Authority to record this position. This later provision is designed to recognise the statutory responsibilities of the CFO and in practice is a situation that I would not expect to arise for this Authority.

- 12.2 In response to the continuing financial challenges facing councils CIPFA (Chartered Institute of Public Finance and Accountancy) issued guidance reminding Chief Finance Officers and their authorities of the statutory responsibilities when setting budgets. This advice reinforces statutory requirements and provides practical guidance to help Chief Finance Officers discharge their responsibilities.
- 12.3 The Chief Finance Officer can advise Members that in his professional opinion the budget proposals for 2013/14 are robust and this advice is underpinned by the following factors:
- Recognition by Members and the Corporate Management Team that the use of significant one-off resources in 2013/14 to partly address the budget deficit is not a sustainable strategy and is designed to provide a longer lead time to implement permanent budget cuts. The strategy is underpinned by the work which commenced last year to begin developing saving plans for 2013/14 and 2014/15. This strategy will need to be updated to reflect the actual grant cuts which are higher than forecast and which have increased the 2014/15 budget deficit and this work will commence over the next few months;
 - The overall strategic approach being adopted to develop and implement a robust multi-year approach to managing the Council's financial position. This included setting targets for achieving in-year managed budget underspends in the current year and the review of reserves to identify resources to fund additional one-off expenditure commitments over the next few years. This approach provides a sound financial basis for managing ongoing annual grant cuts and will help avoid even higher budget cuts in future years when one-off unavoidable expenditure commitments need to be funded.

Previous reports identified three significant financial risks over the period of the MTFS and indicated that there may need to be flexibility around the timing of funding for individual risks, which cover the following issues:

i) Redundancy and Early Retirement costs

This risk reflects the scale of the budget deficits over the MTFS period and the impact these cuts will have on staffing levels. For the 2013/14 budget it has been possible to minimise the numbers of potential compulsory redundancies through careful management of vacancies, which will reduce redundancy and early retirement costs for this year. However, this is not sustainable and given the scale of budget cuts which will be required over the period of the MTFS there will be significant redundancy and early retirement costs in future years. Furthermore, the initial assessment of these costs only covered General Fund budgets and not the impact of EIG and LACSEG costs. Therefore, the existing provision for redundancy

and early retirement costs is still the level recommended by the Corporate Management Team.

ii) Capital Receipts target of £4.5m (potentially increasing to £6.5m)

These resources are allocated to fund capital schemes which have already commenced, principally the completion of Housing Market Renewal schemes. Previous reports have advised Members that achieving these targets will be challenging in the current climate and need careful management. If there is a shortfall in the level of capital receipts actually achieved this will need to be funded from Prudential Borrowing. This would result in an unbudgeted revenue cost and therefore increase future year's budgets deficits. The phasing of these capital receipts over the period of the MTFS is also important as income needs to match expenditure commitments. This position will need to be managed carefully in 2013/14.

The risk in relation to managing capital receipts targets may increase if Members approve the strategy for the Brierton site as up-front costs will need to be incurred to enable future capital receipts to be achieved. These costs will include the relocation costs of the Education Development Centre / Pupil Referral Unit and demolition costs of the bottom site at Brierton. These issues have been carefully assessed and a strategy developed to manage the phasing of expenditure to reduce risk that the costs which need to be incurred before capital receipts from the sale of land at Brierton and the Education Development Centre / Pupil Referral Unit can be achieved.

The proposal to set an additional capital receipts target of £2m to fund developments at the Brierton Site from the sale of land at the Brierton (upper) site and the EDC site will increase the financial risk that the Council is managing. This is minimum forecast for these sites. As indicated in previous reports if capital receipts targets are not achieved the shortfall will need to be funded from Prudential Borrowing, which would result in an additional unbudgeted revenue pressure. Achieving these additional capital receipts will need to be managed carefully to avoid this situation and it is anticipated that the Brierton and EDC sites will be attractive to developers. There is a potential that this risk may be reduced if grant funding applications for the new 3G pitch are successful. At this stage this potential benefit has not been factored in as this position is uncertain.

Setting an additional capital receipts target of £2m for Brierton means that the Council will be managing an overall capital receipts target of £6.5m. After reflecting capital receipts achieved to date of £0.7m this means capital receipts of £5.8m need to be achieved

over the next 2 to 3 years. There are fundamentally two risks which need managing in relation to achieving this target.

The first risk relates to managing any phasing delays in the achievement of capital receipts. This would result in a temporary funding shortfall if capital expenditure has already been incurred and forecast capital receipts are achieved later than anticipated. This would result in an unbudgeted revenue costs as the capital funding shortfall would need to be funded from Prudential Borrowing, until the capital receipt is received.

The second risk relates to a permanent shortfall in the achievement of capital receipts. This would result in a permanent unbudgeted revenue costs as the capital shortfall would need to be funded from Prudential Borrowing on a permanent basis.

The MTFS forecasts make no provision for either a temporary delay in the achievement of planned capital receipts, or a permanent shortfall in forecast capital receipts. For 2013/14 it is anticipated that this position should be manageable. This position will become clearer in the early part of 2013/14 as a number of capital receipts are anticipated to be completed in this period. However, it is recommended that should additional revenue resources become available as part of the 2012/13 outturn that these should be earmarked to manage the temporary revenue cost of having to use Prudential Borrowing on a short-term basis if capital receipts are achieved later than expected. In the event that capital receipts targets are fully achieved there will be permanent revenue pressures from using Prudential Borrowing. For each £1 million shortfall in capital receipts the unbudgeted revenue pressure is around £60,000, at current interest rates.

In assessing the overall financial risks relating to achievement of an increased capital receipts target I have relied upon information provided by professional officers on the value of forecast capital receipts from specific land sales. On this basis the plans are robust, although the financial risks of achieving additional capital receipts in the current economic environment will need to be carefully managed.

iii) **Business Rate Retention issues**

The key risk relates to the safety net arrangements and thresholds for managing in-year reductions in business rates collected by individual councils. This is a particular risk for Hartlepool owing to the impact of the Power Station on income if there is an in-year shut down. The Government has recently issued final details of how these arrangements will be implemented and confirmed the trigger point for providing financial support for in-year reductions in business rates, which has been set at 7.5% and the baseline this

will apply to. On this basis the Council will need to manage annual shortfalls in Business Rates of around £1.7m before receiving any safety net payments from the Government, which will only cover the shortfall above the £1.7m threshold. Therefore, as reported previously the Council will face a significant ongoing financial risk owing to the potential impact of reduced Business Rates from the Power Station. To address this risk in the 2012/13 outturn strategy recommends setting aside a specific reserves of £1m to help manage this risk.

In addition, Councils also face a risk in relation to the cost of back dated rateable value appeals as the Government has now determined that Councils will share 50% of these costs. These appeals relate to the national revaluation completed in 2010 and in a smaller number of cases the 2005 revaluation. Nationally the Government has held back some funding (from the overall Local Government grant pot) to allocate to Councils towards funding these costs. At this stage it is not known if this funding will be sufficient at either a national or individual Council level. On the 16th January 2013 the Government indicated that they will be implementing regulations to enable Councils to spread these costs over 5 years, commencing 2013/14. At this stage it is not possible to quantify the value of this potential risk and this will need to be reviewed when there is more information. It is hoped that arguments being put forward by Councils that the Government should bear the full costs of back-dated appeals will be successful, as they have already received this money from individual Businesses, which were required to pay the assessed rates pending the results of appeals. However, these arguments may not be successful and Members need to be aware of this additional financial risk;

- The arrangements for implementing a Local Council Tax Support scheme and managing the risks of this additional Council responsibility;
- The assumption that Members will approve the proposals for bridging the budget deficit detailed in the report. The proposed savings are the key issue affecting the robustness of the proposed budget. If Members do not approve these proposals the budget forecasts will not be robust as overall expenditure will inevitably exceed available resources;
- The assessment by the Corporate Management Team of the achievability and sustainability of proposed budget reductions for 2013/14. The assessment of the proposed savings reflects the process adopted for identifying, managing and implementing these measures. This includes action taken in the current year to implement proposals earlier to ensure a full year saving is achieved in 2013/14. It also reflects a risk assessment of proposed savings

based on an assessment of the level of pay, non-pay savings and increased income savings. In relation to the level of pay savings achieved for 2013/14 this reflects management action taken to hold posts vacant where possible to reduce the need for compulsory redundancies. This action is not sustainable over the period of the MTFs and in future years the number of compulsory redundancies will increase as it will not be possible to hold posts vacant;

- The detailed work undertaken by individual Directors (and their senior managers) in conjunction with my staff regarding the preparation of detailed budget forecasts, including income forecasts;
- Prudent provision for potential pay awards for April 2013;
- A prudent provision for inflation on non pay budgets and income budgets during 2013/2014;
- The identification of specific pressures and inclusion of these commitments within the overall budget requirement;
- A prudent view of the net costs of the Authority's overall cash flow, including the repayment of Prudential Borrowing;
- The comprehensive review of reserves and risks, which has enabled some resources to be released to partly fund additional risks detailed in section 4.
- The assessment of specific financial risks and the risk management arrangements for these issues which have been taken into account when preparing the 2013/14 as detailed in **Appendix 18**.

13. Equality Impact Assessments

- 13.1 Cabinet / Council are reminded that in making financial decisions the Council is required to demonstrate that those decisions are made in a fair, transparent and accountable way, considering the needs and the rights of different members of the community. This is achieved through assessing the impact that changes to policies, procedures and practices could have on different equality groups. The Equality & Human Rights Commission has published a guide for decisions-makers which has been used by Officers assessing the impact of individual savings proposals.
- 13.2 Equality Impact Assessments (EIA) have therefore been undertaken and reviewed by Officers for each proposed saving as detailed in **Appendices 6 to 16** to enable Elected Members to satisfy themselves that they are able to consider fully the proposed changes and the likely impact at the point of making decisions.

13.3 Each EIA has been independently reviewed and subject to internal challenge together with an overall central assessment to determine the cumulative impact on each individual “protected characteristic” to identify where specific consultation requirements are needed. Each EIA has sought to identify whether:

- there is no major change to the service if the proposal is implemented;
- adjustments or changes should be made to the proposal;
- the proposal should continue even though there may be an impact, or;
- the proposal should be stopped or removed.

14. Budget consultation feedback

14.1 The budget report considered by Cabinet on 19th December was referred to Scrutiny Co-ordinating Committee (SCC) to finalise the 2013/14 budget consultation process. A report detailing the comments of SCC will be presented at your meeting.

14.2 Further consultation meetings have also been held with the Trade Unions and Business Sector as detailed in **Appendix 19**.

15. CONCLUSION

15.1 As detailed in previous reports the Council has had to manage significant funding cuts over the last two financial years (2011/12 and 2012/13), including:

- A cut in the core Formula Grant of £11.9m, a 20% cut;
- The complete withdrawal of the Working Neighbourhood Fund, a cut of £4.9m; and
- Cuts in various specific grants, such as the Early Intervention Grant – which has been cut by £2m, a 22% cut.

15.2 These cuts had a disproportionate impact on Hartlepool's ‘spending power’ per resident (the Government's measure of grant cuts) which over the last two years was cut by £200, which is nearly twice the national average of £97.

15.3 Whilst, the Council has managed the permanent removal of this funding, this has not been easy and it will become even more difficult to manage further grant cuts over the next 4 years.

15.4 The report advises Members that the core Formula Grant cuts for 2013/14 and 2014/15 are higher than forecast and further cuts will be made in 2015/16 and 2016/17. On this basis the General Fund budget deficit for the period 2013/14 to 2016/17 has increased by around £2m and the Council will need to address a deficit of between **£21.09m** to **£23.09m**, as summarised below. The forecast deficits are based on

annual Council Tax increases of 1.99% in 2013/14 and 2014/15 and 2.5% in 2015/16 and 2016/17. If lower increases are implemented this will reduce the ongoing Council Tax income and increase the forecast budget deficits.

	Low £'000	High £'000
Forecast reported 17.12.12	19,094	21,094
Impact of higher grant cuts in 2013/14 and 2014/15 and inflation on grants mainstreamed	1,996	1,996
Revised budget deficit	21,090	23,090

Note 1 – The 'high' deficit figures are based on annual grant cuts for 2015/16 and 2016/17 increasing from 5% to 7.5% per year.

- 15.5 The report provides a detailed strategy for managing the 2013/14 General budget deficit, which is based on:
- The achievement of net savings of £3.664m, including the part year ICT procurement saving. In relation to the level of pay savings achieved for 2013/14 this reflects management action taken to hold posts vacant where possible to reduce the need for compulsory redundancies. This action is not sustainable over the period of the MTFS and in future years the number of compulsory redundancies will increase as it will not be possible to hold posts vacant;
 - The use of £2.3m of one-off resources from the 2011/12 and 2012/13 outturns. The use of these one-off resources defers this amount of the budget deficit until 2014/15 and provides a longer lead time to identify permanent savings;
- 15.6 The strategy for balancing the 2013/14 budget deficit is based on a Council Tax increase of 1.99%, which is just below the 2% referendum trigger point. This strategy is recommended by the Corporate Management Team as it provides sustainable income. For most households (i.e. the 63% living in a Band A or B property) the weekly increase is 42p or less.
- 15.7 The report details the impact of accepting the Government's 2013/14 Council Tax Freeze Grant of 1%, which would be received for 2 years. It is not recommended that Council Tax is frozen as this will result in a net reduction in ongoing Council Tax income of £0.4m, which would increase the budgets deficits and the service cuts which will need to be made over the period of the MTFS.
- 15.8 The strategy adopted for 2013/14 provides a longer lead time to develop a sustainable strategy to address the significant budget cuts facing the Council over the three years commencing 2014/15, which will require the Council to identify further budget cuts of between **£17.426m and £19.426m** before the start of 2016/17. A significant

proportion (**£8.524m**) of these additional cuts will need to be implemented before the start of 2014/15.

- 15.9 Making these additional budget cuts will be extremely difficult and require the prioritisation of services and potentially decisions to stop some services. Work on developing a strategy to address the budget deficits in these years will need to commence in 2013/14 to provide adequate lead time to consult the public on these proposals and to enable the planned savings to be achieved.
- 15.10 In addition to the significant ongoing budget deficits' facing the Council the report also provides details of the additional financial risks transferring to Councils in April 2013 as a result of changes to the Business Rates system and the arrangements for providing Council Tax Support. These risks will need to be carefully managed during 2013/14 and future years.
- 15.11 In relation to the cuts in EIG and LACSEG the reports outlines the actions already taken by managers to prepare for these grant cuts, which provides one-off resources to manage the impact of these cuts over a longer period. This should help achieve a more effective transition of services to reflect the significant cut in funding, particularly in relation to the EIG. If this proactive strategy had not been implemented the Council would have to make these cuts within the next 4 months to ensure 2013/14 costs do not exceed the reduced funding allocation.
- 15.12 Details of additional one-off financial commitments which will need to be funded by the Council are also provided in the report, together with a strategy for funding these issues. This strategy is based on the achievement of managed budget underspend targets in the current year and the re-assessment of existing reserves and the risks/priorities these reserves were earmarked for. If these targets had not been achieved additional budget cuts of £5.3m would have been needed over the next 4 years.
- 15.13 In summary over the next 4 years the Council is facing the most challenging financial position since becoming a unitary authority in 1996, which reflects:
- The scale of Government grant cuts confirmed for 2013/14 and 2014/15;
 - The anticipated ongoing Government grant cuts in 2015/16 and 2016/17;
 - The transfer of financial responsibility for Council Tax Support to individual Councils, with a 10% national funding cut (effectively a cut for Hartlepool of 14% when account is taken of actual support already provided);
 - The implementation of the Business Rates Retention system, which will transfer significant financial risk to individual Councils, including 50% of potential costs relating to back-dated appeals. These are

particular risk for Hartlepool owing to the potential impact of in-year reductions in the business rates paid by the Power Station.

15.14 The implementation of just one of the above issues in 2013/14 would be challenging for local authorities to manage. The implementation of all these changes in a single year is unprecedented and significantly increases the financial risks being managed by Councils. The Government has stated the New Business Rates retention system is **‘the biggest shake up of Local Government finance in a generation and rewards Councils if they bring in jobs and businesses.’**

15.15 From the Council’s perspective as an authority serving a community with a higher level of deprivation these changes reduce Government grant funding and transfer additional financial risks to the Council. These issues will need to be carefully managed in 2013/14 and future years. To address these issue the Council needs to adopt a multi-year strategy based on the achievement of 2012/13 managed underspends targets, the achievement of planned saving over the next 4 years and the earmarking of one-off resources to fund one-off expenditure commitments.

15.16 The recommendations detailed in the next section provide a robust financial strategy for managing these changes and financial risks, and reflect the consultation proposals approved by Cabinet in December 2012.

16. RECOMMENDATIONS

16.1 It is recommended that the Cabinet notes the report and refers the following proposals to Council.

16.2 2012/13 Outturn Strategy

16.3 Approve the proposed strategy for funding

(i) One-off commitments of £5.350m from the review of reserves and the achievement of 2012/13 managed underspend targets, as detailed in paragraph 4.4; and

(ii) approve the proposal to fund one-off costs of £184,000 of achieving ongoing accommodation savings of £170,000 from 2014/15 from a combination of the 2012/13 outturn (£119,000), as detailed in paragraph 4.4, and the 2013/14 in-year savings in accommodation costs (£65,000). To note that the savings of £170,000 exceeds the forecast savings included in the 2014/15 MTFS by £70,000, which will reduce the budget deficit for this year.

16.4 To note that after earmarking the resources detailed in paragraph 16.3 that depending on the final outturn there is anticipated to be

uncommitted resources of between £0.381m and £1.161m, as detailed in paragraph 4.4. It is recommended that the final uncommitted outturn is transferred to the General Fund Reserve and a strategy for using these resources is developed as part of the 2014/15 budget process to reflect the financial risks facing the Council in 2014/15.

16.5 2013/14 General Fund Budget

16.6 Approve the budget pressures of £0.635m as detailed in Appendix 4.

16.7 Approve a 2013/14 Council Tax increase of 1.99% and to note this secures a permanent increase in net Council Tax income of £0.4m, which would not be achieved if 2013/14 Council Tax is frozen.

16.8 Approve the proposal to bridge the net 2013/14 budget gap (after reflecting the recommended Council Tax increase) of £5.992m from a combination of Departmental savings plans for 2013/14 of £3.364m detailed in Appendices 6 to 16, the part year ICT procurement saving and the use of one off resources as summarised below:

	£'m	£'m
Permanent Department savings (Appendices 6 to 16) and part year ICT saving		3.664
Contribution from 2011/12 outturn to partly offset removal of 2012/13 Council Tax freeze grant	0.345	
Contribution from 2012/13 outturn to offset forecast additional 2013/14 grant cuts reported before actual grant cuts were known	0.850	
Contribution from the 'Delayed implementation of planned 2013/14 and 2014/15 savings reserves' to offset part of the reduced People Collaboration savings in 2013/14 (paragraph 6.3)	0.367	
Contribution from 2012/13 Collection Fund Surplus (£0.737m) and 2013/14 outturn (£0.029m) to offset actual grant cut being higher than forecast	0.766	
Total one-off resources allocated to support 2013/14 budget		2.328
		5.992

16.9 To note the use of one off resources detailed in paragraph 16.8 defers part of the budget deficit to 2014/15, which provides a longer lead time to identify permanent budget reductions.

16.10 Note that in the event of there being any shortfall in planned 2013/14 savings individual departments will be responsible for identifying alternative proposals for consideration by Members to address any temporary/permanent funding shortfall.

16.11 Approve the proposal that any in-year saving achieved in 2013/14 from the Chief Executive's Structure Review (detailed in paragraph 6.3) are

allocated to reduce the call on the 'Delayed implementation of planned 2013/14 and 2014/15 savings' reserve (planned use of £0.367m as detailed in paragraph 16.8), which will enable any uncommitted reserve to be carried forward to manage risk in future years.

16.12 Note the Chief Finance Officers professional advice on the robustness of the 2013/14 budget proposals, as detailed in section 12, including advice regarding the use of significant one-off resources in 2013/14 to partly address the budget deficit, which is not a sustainable strategy and is designed to provide a longer lead time to implement permanent budget cuts. The strategy is underpinned by the work which commenced last year to begin developing saving plans for 2013/14 and 2014/15. This strategy will need to be updated to reflect the actual grant cuts which are higher than forecast and which have increased the 2014/15 budget deficit and this work will commence over the next few months.

16.13 Approve the production of a 2013/14 Council Tax Leaflet to explain the budget issues for 2013/14 and to note this cost of £1,800 can be funded from the existing budgets.

16.14 **2014/15 to 2016/17 General Fund Budget**

16.15 Approve indicative Council Tax increases of 1.99% for 2014/15 and 2.5% for 2015/16 and 2016/17.

16.16 Note that the additional grant cuts for 2013/14 and 2014/15 increase the budget forecast deficit for the period up to 2016/14 to between **£21.090m to £23.090m**, detailed in paragraph 5.36 (previous forecast £19.094m to £21.094m). To also note that after reflecting the permanent budget saving planned for 2013/14 the Council will need to identify further budget cuts of between **£17.426m and £19.426m** (detailed in paragraph 6.19) before the start of 2016/17.

16.17 Note that an initial savings plan has been developed for 2014/15, which reduces the forecast deficit still to be bridged for this year and a detailed report will be submitted early in 2013/14 to finalise this strategy. To note that the 2014/15 deficit will be reduced by any additional accommodation cost savings which are achieved (as detailed in recommendation 16.3 (ii)) and savings achieved from the Chief Executive's Structure Review (as detailed in paragraph 6.3).

16.18 Note that no saving plans have been developed for 2015/16 and 2016/17 and these will be developed during 2013/14.

16.19 **Early Intervention Grant.**

16.20 Approve the proposed strategy to allocate EIG 2011/12 and 2012/13 underspends of between £1.431m and £1.531m (depending on the final 2012/13 outturn) to temporarily offset the EIG grant cut in 2013/14

of £1.276m and increasing grant cut in 2014/15 of £1.611m (as detailed in paragraph 8.7).

- 16.21 To note that if 16.20 is approved the proposed maximum use of this reserve in 2013/14 will £1.276m (i.e. the level of grant cut for 2013/14). However, the actual contribution is anticipated to be lower reflecting the element of the 2012/13 under-spend which can be sustained and the phased implementation of permanent reductions during 2013/14. This strategy will increase the uncommitted reserve available to help manage the reduction in this grant in 2014/15 and provide a longer lead time for developing a permanent strategy to address these funding cuts, which will be reported to Members before the end of June 2013.

16.22 Local Authority Central Spend Equivalent Grant

- 16.23 Approve the proposed strategy to allocate Formula Grant refunds of top sliced Academy funding (£0.48m) and 2012/13 budget underspend for forecast Academy funding top slice (£0.28m) to manage the risk of in-year 2013/14 LACSEG funding cuts if schools convert to academies
- 16.24 To note that if 16.23 is approved it is recommended that £0.397m of this reserve is allocated to support expenditure in this area in 2013/14 (as detailed in paragraph 9.5) as this will provide a longer lead time for developing a strategy to address these funding cuts, which will be reported to Members before the end of June 2013.

16.25 Public Health Funding

- 16.26 Note that Public Health funding allocations were only provided on 11th January.
- 16.27 Note that the current position as detailed in section 10 and note that the Director of Public Health will be responsible for determining contractual commitments against this funding and preparing a detailed report on the impact of integrating public health, both operationally and financially for submission to a future meeting.

16.28 Capital Programme 2013/14

- 16.29 Approve the 2013/14 capital programme as detailed in Appendix 17, which includes the following detailed proposals:

(i) Schemes funded from specific Government Capital Grant – cover the following areas:

- Local Transport schemes £1.351m;
- Schools Capital Programme £1.7m;
- Adult Social Services £0.269m.

And to note that detailed schemes for using these specific grants will be approved by the relevant Portfolio Holders.

(ii) Schemes funded from the Council Capital Fund – the total value of this fund is £1.091m, consisting of £0.491m uncommitted 2012/13 funding plus £0.6m new allocation for 2013/14. Table 3 of Appendix 17 details the proposed projects to be funded. It is recommended that Council approve these proposals, as summarised below, and to delegate authority to approve the use of the uncommitted Council Capital Fund of £55,000 to Cabinet or the Policy and Finance Committee:

Project	Estimated cost (£000)
Multi Storey Car Park	130
Underground Car Park	50
Hart Primary School	8
A689 (Note 1)	100
Children's Home 302 Stockton Road	59
Maritime Experience	32
Mill House Leisure Centre	114
Maritime Experience	30
Kitchen works	200
Hartlepool Enterprise Centre	113
Sub Total	836
Indoor Bowls Centre (Note 2)	200
Sub Total	1,036
Unallocated	55
Total	1,091

Note 1 - The proposed scheme for the A689 is a contribution towards an overall scheme to reconstruct a section of the A689 (as detailed in paragraph 11.8).

Note 2 - The proposed allocation for the Bowls Club is included to 'reserve' funding for this scheme pending the assessment of the business case for this scheme. A separate report will be submitted to Cabinet and Council in 2013/14 to enable Members to determine if they wish to support this scheme.

(iii) Self Funding schemes – will be funded from Prudential Borrowing and the resulting annual loan repayment costs will either be funded from increased income, or revenue savings arising from the capital expenditure. These items cover the following schemes, as detailed in paragraph 11.12:

	Capital Expenditure £'000
Recycling Bins	725
CCTV Replacement equipment	115
Allotments	227
Vehicle Replacement Programme	2,420

(iv) Empty Homes Project - Approve the proposal to seek Council approval of the original strategy for funding the additional costs for this scheme of £165,000 (additional 3 properties) and £150,000 (contingency provision) from Prudential Borrowing, which will be repaid from the additional rental income generated from extending this scheme, in line with the original business case, as detailed in paragraph 11.13. This proposal will maximise the value of the 2012/13 uncommitted underspend transferred to the General Fund (as detailed in recommendation 16.4)

16.30 Future Use of Brierton Site

16.31 Based on Cabinet decisions on 17th December 2012, as summarised in paragraph 12.3 (ii) the following recommendation needs to be referred to full Council as part of the 2013/14 Budget and Policy Framework:

(i) Approve the marketing of the relevant areas of the Brierton site and the Education Development Centre/Seaton Lane site;

(ii) In 2013/14 to earmark £1.160m of the anticipated capital receipts to fund investment in the Brierton Site to relocate the Pupil Referral Unit (PRU) and the Education Development Centre (EDC) to the Brierton site (including demolition of the cost of the existing PRU and EDC), IT installation and landscape buffer;

(iii) In 2014/15 to earmark £0.6m of the anticipated capital receipts to provide a 3G pitch. To note that grant funding may be secured towards this scheme, although this cannot be guaranteed at this stage, which would reduce the call on capital receipts;

(iv) To note section 12 – Robustness of Budget forecasts, reflects the increased risk of increasing the capital receipts target by £2m to fund the proposed Brierton Development.

16.32 Arrangements for managing a delay in Final 2013/14 Local Government Finance Settlement

16.33 To note that in the event that the settlement announcement is not made by the Government before the Cabinet meeting on 4th February 2013 the Mayor, on the basis of advice from the Corporate Management Team, will finalise any necessary amendments (which it is anticipated will be minor) to the budget proposals for 2013/14 to be referred to full Council.

17. REASONS FOR RECOMMENDATIONS

17.1 To enable Cabinet to approve the final budget proposal to be referred for formal scrutiny.

18. APPENDICES

- 18.1 Included in the report to provide detailed information to support recommendations in the report.

19. BACKGROUND PAPERS

- Cabinet report 21st December - MTFS 2013/14 to 2014/15 – Supplementary Report
- Cabinet report 17th December - MTFS 2013/14 to 2014/15
- Cabinet report 17th December – Future Use of Brierton Site
- Cabinet report 19th November 2012 – MTFS 2013/14 to 2014/15 update
- Cabinet report 4th October 2012 – MTFS 2013/14 to 2016/17
- Cabinet report 11th June 2012 – MTFS 2013/14 to 2016/17
- Cabinet report 3rd September 2012 – MTFS – Strategy for Managing Financial Risks
- Cabinet report 3rd September - 2013/14 Localisation of Council Tax Support

20. CONTACT OFFICER

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4.2 - Appendix 1

HARTLEPOOL BOROUGH COUNCIL - RESERVE BALANCES AS AT 1ST APRIL 2012

RESERVES COMMITTED OR HELD IN TRUST

Reserve	Revised Balance of Reserves 2012/13 £'000	Reason for/purpose of the Reserve	Planned Use of Reserves					Estimated Balance at 31/03/16 £'000
			2012/13	2013/14	2014/15	2015/16	Total	
			£'000	£'000	£'000	£'000	£'000	
Schools	6,771	Ring-Fenced Schools Funding. Underspends against individual school budgets from previous years budgets. To enable individual schools to manage their budgets over more than one financial year in accordance with the implementation of multi-year budgets.	0	0	0	0	0	6,771
School Loans	(3)	Negative Reserve - This is LA Loans advanced to schools for specific approved purposes which are then repaid (with interest) over a specified period. These loans are offset against School Balances for Statement of Accounts purposes.	2	1	0	0	3	0
Extended Schools - Other Funding School Balances	387	Ring-Fenced Reserve as Schools Funding. This Reserve consists of the balances of schools funding which is outside main budget share e.g. NCSL.	0	0	0	0	0	387
TOTAL SCHOOL BALANCES	7,155		2	1	0	0	3	7,158

BHF Funding	20	Reserve created for balance of ring fenced British Heart Foundation scheme	0	0	0	0	0	20
Brierton Closure - Salary Protection Fund	2	This reserve was created by the Schools Forum specifically to improve redeployment opportunities for all Brierton School staff following the school closure. It was a negative Reserve in 2009/10 as the up-front costs were greater than the funding however the Forum have agreed measures to repay this the salary protection arrangements end in 2012/13	(2)	0	0	0	(2)	(0)
Dedicated Schools Grant - LA Underspend from Previous Years	1,415	The Dedicated Schools Grant (DSG) is a ring-fenced grant for use on 'schools' budgets only. The balance arises from under spends in 2010/11 on the local authority elements of the DSG, specifically Home and Hospital teaching, PRU and salary abatements.	(507)	0	0	0	(507)	908
Schools Broadband	21	Created to provide a Contingency in case a number of schools withdraw from the Broadband contract which still has a further year to run.	(21)	0	0	0	(21)	0
Transitional Support Fund	54	Ring-fenced Reserve (DSG) - In previous years the Schools Forum have allocated revenue funding towards a Transitional Support Fund which is to fund (requiring Schools Forum approval) unforeseen emergency budget issues in schools and/or those under extreme measures. No revenue budget exists for this as the forum are happy with the level of reserve available should the need arise.	0	0	0	0	0	54

4.2 - Appendix 1

HARTLEPOOL BOROUGH COUNCIL - RESERVE BALANCES AS AT 1ST APRIL 2012

RESERVES COMMITTED OR HELD IN TRUST

Reserve	Revised Balance of Reserves 2012/13 £'000	Reason for/purpose of the Reserve	Planned Use of Reserves					Estimated Balance at 31/03/16 £'000
			2012/13 £'000	2013/14 £'000	2014/15 £'000	2015/16 £'000	Total £'000	
Community Facilities in Schools - Schools Funding	91	This is the net surpluses / deficits from various Schools Community Facilities 'rolled forward' into the next financial year. To enable Community Facilities within Schools to manage their budgets over more than one financial year.	0	0	0	0	0	91
Extended Schools - Out of School Care Balances	197	Ring-Fenced Reserve as Schools Funding. This Reserve consists of the balances of schools 'Out of School Clubs' e.g. Breakfast Clubs and former NOF-funded schemes.	0	0	0	0	0	197
LATS	160	To support the overall budget.	(160)	0	0	0	(160)	0
Emergency Planning	172	Reserve held on behalf of 4 authorities for Emergency Planning and only a proportion belongs to Hartlepool.	18	0	0	0	18	190
TOTAL RINGFENCED FUNDING	2,131		(672)	0	0	0	(672)	1,460
Capital Funding Reserve	3,414	This reserve is fully committed to fund rephased capital expenditure.	(3,414)	0	0		(3,414)	0
Capital Grants Unapplied	3,200	Capital grants received which is used to fund the the Council's capital programme	(3,200)	0	0		(3,200)	0
TOTAL CAPITAL RESERVES	6,614		(6,614)	0	0	0	(6,614)	0
Budget Support Fund	710	To support the overall budget.	(710)	0	0	0	(710)	0
Budget Support Fund to support 2013/14 Budget	0	To support the 2013/14 budget as per the MTFs . This includes additional grant cuts of £0.850m and the delayed implementation of planned 2013/14 and 2014/15 savings	1,378	(1,378)	0	0	0	0
TOTAL BUDGET SUPPORT	710		668	(1,378)	0	0	(710)	0
Civic Lottery	426	The Lotteries Reserve, consists of the proceeds of the civic lottery and donations received. It is used for grants and donations to local organisations.	0	0	0	0	0	426
Museums Acquisition	69	To support the purchase of museums exhibits	0	0	0	0	0	69
TOTAL LOTTERY & MUSEUM RESERVES	495		0	0	0	0	0	495
GRAND TOTAL	17,106		(6,616)	(1,377)	0	0	(7,993)	9,113

PLANNED USE OF RESERVES (NOT COMMITTED NOR HELD IN TRUST)

Reserve	Revised Balance of Reserves 2012/13 £'000	Reason for/purpose of the Reserve	Planned Use of Reserves					Estimated Balance at 31/03/16 £'000
			2012/13	2013/14	2014/15	2015/16	Total	
			£'000	£'000	£'000	£'000	£'000	
Looked After Children	1,065	Contribution to the Safeguarding and Specialist Services for the development of Looked After Children in this volatile area.	(518)	(500)	(47)	0	(1,065)	0
Early Intervention Grant Reserve	454	Specific reserves created to cover temporary commissioning officers to support implementation of early intervention strategy and prevent breaks in contracts. Longer term funding arrangements for early intervention uncertain, reserve to support sustainability of service.	900	(1,102)	(252)	0	(454)	0
BSF Implementation Costs	96	This is the revenue reserve to fund the revenue costs of the School Transformation Team.	(96)	0	0	0	(96)	0
Think Family	172	2010/11 balance of grant funding to be carried forward to assist with continuation of service following reductions in grant allocations as part of the Early Intervention Grant.	(81)	(91)	0	0	(172)	0
Youth Offending Reserve	166	Ring-Fenced as YOS is a Partnership Budget. Created from planned underspends in previous years to fund future reduction in contributions from partner agencies to enable the continuation of YOS initiatives.	62	0	(76)	(76)	(90)	76
Ring Fenced Grants	163	A number of ring-fenced grants were underspent in previous years, therefore this Reserve was created in order to carry the funding forward into future years.	(60)	(49)	0	0	(109)	54
Care Matters	90	Contribution to the Safeguarding and Specialist Services for the development of Looked After Children in this volatile area.	0	0	0	0	0	90
Raising Educational Achievement	85	Incorporates funding to ensure the most vulnerable young people are tracked and supported to remain in education.	(25)	0	0	0	(25)	60
Educational Psychologists	32	To support the continuation of the provision of the Autism Service to Schools from academic funding.	74	(106)	0	0	(32)	0
Local Safeguarding Children's Board (Partnership Funding)	30	Ring-Fenced Reserve - This is Partnership Funding with other bodies. Relates to underspends carried forward from previous years.	0	0	0	0	0	30
Workforce Development	25	Balance of grant funding to be carried forward to support staffing requirements in future years.	0	0	0	0	0	25
Child Poverty Local Duties	21	Late Notification of Grant allocation to be carried forward to fund targeted family work.	(8)	(13)	0	0	(21)	0
BSF Implementation Costs	18	This is the revenue reserve to fund the revenue costs of the School Transformation Team.	(18)	0	0	0	(18)	0
Performance Data - YOS	5	Reserve was established in 2011/12 to support Youth Offending Service to aid delivery of Performance returns.	0	0	0	0	0	5
Adult Education	450	Created from LSC (Learning Skills Council) grant funding to address short and long term pressures from within the Adult Education service.	(196)	(158)	(96)	0	(450)	0

HARTLEPOOL BOROUGH COUNCIL - RESERVE BALANCES AS AT 1ST APRIL 2012
4.2 - Appendix 2
PLANNED USE OF RESERVES (NOT COMMITTED NOR HELD IN TRUST)

Reserve	Revised Balance of Reserves 2012/13 £'000	Reason for/purpose of the Reserve	Planned Use of Reserves					Estimated Balance at 31/03/16 £'000
			2012/13	2013/14	2014/15	2015/16	Total	
			£'000	£'000	£'000	£'000	£'000	
Older People - SRR	421	Increased income received in 2010/11. To be used to fund demographic pressures on Older People.	0	0	0	(421)	(421)	0
Reablement Funding	315	PCT income received for Reablement of service users.	0	0	(315)	0	(315)	0
DOH - Social Care Integrated Support - Delayed Discharges	305	DOH monies received via PCT to be spent on support for vulnerable adults - to minimise the impact of discharges from hospital.	(85)	(110)	(110)	0	(305)	0
Mill House	101	The reserve arose from a rates rebate following a review of the leisure centre rateable values in 2006/07.	0	0	0	0	0	101
PCT One-off Funding - Carers Funding	120	Reserve created from One-Off funding received from PCT close to financial year end to deliver priorities for Carers support.	(40)	(40)	(40)	0	(120)	0
Seaton CC 'Management'	108	Balance carried forward from previous years. Some of this fund pertains to Children's Services. However, the amount is still being determined by the overseeing board.	0	0	0	0	0	108
Social Care Reform Grant	106	Reserve created from specific received grant in 2010/11. To be used to fund project slippage in 2011/12 and 2012/13.	(106)	0	0	0	(106)	0
Tall Ships Reserve	96	This reserve has been set aside to support the Tall Ships visit in 2010.	0	0	0	0	0	96
Supporting People Reserve	95	Reserve created from Grant underspend and earmarked for potential claw back. To be used to fund transition arrangements following SDO reductions.	(95)	0	0	0	(95)	0
PCT One-off Funding - Carers into Employment	60	Reserve created from One-Off funding received from PCT close to financial year end to deliver priorities around vulnerable people.	0	(30)	(30)	0	(60)	0
PCT One-off Funding - Hearing Loss Strategy	50	Reserve created from One-Off funding received from PCT close to financial year end to deliver priorities around Hearing Loss Strategy	(50)	0	0	0	(50)	0
Maritime Festival	35	To support the biannual Maritime Festival.	(35)	0	0	0	(35)	0
Public Health Phys Activity	39	Balance of Public Health funding provided by the PCT for the Community Activities Network to distribute as grants to Sport & Physical Activity service providers for new sport & physical activity initiatives.	0	(15)	(15)	(9)	(39)	0
Bowling Club Rental	25	Reserve created to fund rental charges that were waived for the Bowling Club	(25)	0	0	0	(25)	0
Archaeology Projects	22	Reserve to be used for specific archaeology projects following SDO reductions.	(22)	0	0	0	(22)	0
Tobacco Control	13	Reserve created to carry forward grant funding which covers a 2 year period.	(13)	0	0	0	(13)	0
Grayfields Pitch Improvements	13	Reserve created to complete the pitch improvements at Grayfields.	(13)	0	0	0	(13)	0
Sports Activities - various	9	Underspend on grants for sports & health activities.	(9)	0	0	0	(9)	0

PLANNED USE OF RESERVES (NOT COMMITTED NOR HELD IN TRUST)

Planned Use of Reserves								
Reserve	Revised Balance of Reserves 2012/13 £'000	Reason for/purpose of the Reserve	2012/13 £'000	2013/14 £'000	2014/15 £'000	2015/16 £'000	Total £'000	Estimated Balance at 31/03/16 £'000
PCT Local Development Plan Funding	6	Balance of PCT Local Development Plan funding being used as match funding for the Sport England grant received in December 2011 as part to a cycling programme that is to run until December 2012.	(6)	0	0	0	(6)	0
Archaeology - Monograph Series	1	Creation of reserve to ensure completion of project and ensure no loss of external funding for the overall project.	(1)	0	0	0	(1)	0
Finance - IT Investment	62	Created to fund a number of IT projects integral to the Corporate IT changes across the Authority.	(30)	(32)	0	0	(62)	0
Financial Inclusion	38	Created to fund the Financial Inclusion Programme	0	0	(38)	0	(38)	0
Finance R & B	20	Created to fund cost of IT equipment / services.	0	(20)	0	0	(20)	0
Finance R & B - Internal Bailiff Development	17	Created to fund costs associated with Internal Bailiff Development.	(17)	0	0	0	(17)	0
Finance - IT Developments R&B	16	Created to fund IT development costs to cope with new DWP Security requirements and further Kirona scripting changes.	0	(16)	0	0	(16)	0
Registrars	15	Created for redecoration of new marriage/ceremonies room at the Borough Hall and some software integrations/upgrades.	(15)	0	0	0	(15)	0
Finance R & B - Corporate Booking System	10	Created to fund Development work linked to the Corporate Booking System.	0	(10)	0	0	(10)	0
Finance R & B - Software Projects	10	Created for funding towards BACS and DD's Software Project Developments.	(5)	(5)	0	0	(10)	0
Chief Executive's Department Ring Fenced Grants	104	Created from ring-fenced grant funding to fund specific expenditure commitments.	(50)	(50)	(4)	0	(104)	0
Corporate Strategy - ICT System Development	56	Created to fund temporary development resources for enhancements of current ICT systems such as e-bookings and EDRMS and costs attributable to the rationalisation of systems to achieve savings from the provision of ICT.	0	(56)	0	0	(56)	0
Finance R & B - FSM System	4	Created to fund costs of FSM System.	(1)	(1)	(1)	(1)	(4)	0
Resource Investment - HR	3	Created to enable department to manage budget over more than one year.	0	(3)	0	0	(3)	0
Corporate Strategy - Corporate Consultation	9	Created to enable department to manage budget over more than one year.	(9)	0	0	0	(9)	0
People Framework Development	18	Created to enable department to manage budget over more than one year.	0	(18)	0	0	(18)	0
Corporate Strategy - Enhancing Council Profile	13	Created to fund temporary costs in development and establishing arrangements for enhancing and maintaining the Councils profile including social networking, public relations and other associated elements.	(13)	0	0	0	(13)	0
Finance - Accountancy Section	20	Created to fund temporary appointments to cover maternity leaves during 2013/14	0	(20)	0	0	(20)	0
Corporate Strategy - Working from Home Surplus	13	Created to manage the costs of home working key fobs between financial years.	(13)	0	0	0	(13)	0

PLANNED USE OF RESERVES (NOT COMMITTED NOR HELD IN TRUST)

Planned Use of Reserves								
Reserve	Revised Balance of Reserves 2012/13	Reason for/purpose of the Reserve	2012/13	2013/14	2014/15	2015/16	Total	Estimated Balance at 31/03/16
	£'000		£'000	£'000	£'000	£'000	£'000	£'000
Corporate Strategy - ICT Contract Review	50	Created to fund potential costs in relation to the re-procurement and or change of arrangements in respect of the Councils current ICT arrangements.	(25)	(25)	0	0	(50)	0
Corporate Strategy - Performance Management	13	Created to enable department to manage budget over more than one year.	(13)	0	0	0	(13)	0
Contact Centre	15	Created to enable department to manage budget over more than one year.	0	(15)	0	0	(15)	0
Finance R & B - Atlas Project	20	Created to fund the additional funding required to match DWP Atlas grant received to complete project.	(9)	(11)	0	0	(20)	0
Community Grants Pool	41	Reserve created year on year from the underspend on the Community Grants Pool budget as this expenditure is 'ring-fenced' by Members for contributing towards the community.	(11)	(30)	0	0	(41)	0
Speed Cameras	16	Relates to the funding ring fenced for the Tees Valley Camera Partnership.	(16)	0	0	0	(16)	0
Winter Maintenance	50	Earmarked to fund additional Network Repairs required as a result of adverse weather.	(50)	0	0	0	(50)	0
Cemetery & Crematoria/Stranton, Tanfield Rd Nursery	250	Contribution towards the Stranton Cremator & Tanfield Rd Nursery, Capital Project. This scheme includes the replacement of the Cremators and improvements to amenities and retail facilities.	(250)	0	0	0	(250)	0
Community Safety LPSA Reward Grant Reserve	71	Local Public Service Agreement Phase 2 reward grant for committed projects approved by Safer Hartlepool Partnership - Domestic Violence.	(55)	(16)	0	0	(71)	0
Building Maintenance Remedial	22	Traditionally all building projects require remedial work following their completion and this is a quarter of the figure spent last year.	(22)	0	0	0	(22)	0
Neighbourhood Community Development Projects	10	Community Development Work in 2012/13 (£5k in each area).	(10)	0	0	0	(10)	0
Selective Licensing	193	Income generated from fees required to fund the scheme over a 5 year period.	(16)	(93)	(84)	0	(193)	0
Major Regeneration Projects	99	Major Regeneration schemes - Originally earmarked for Church Square but on hold for now.	0	0	0	0	0	99
Housing Strategic Studies	26	To support the future cost of undertaking Housing Strategic Studies and the Local Plan Review which occurs every 3-5 years.	(26)	0	0	0	(26)	0
Support for CAD/CAM Liability	39	Reserve to cover CAD/CAM liability which exists until 2014/15.	(38)	0	0	0	(38)	0
DC Restructure	9	Earmarked to fund Graduate Planner in 2012/13.	(9)	0	0	0	(9)	0
Jobs & The Economy/FSF & Local Initiatives	60	Funding earmarked to match fund other Grant Funded Schemes e.g Flexible Support Fund and Leaving Care. (Supporting C & A priorities).	(60)	0	0	0	(60)	0

HARTLEPOOL BOROUGH COUNCIL - RESERVE BALANCES AS AT 1ST APRIL 2012

4.2 - Appendix 2

PLANNED USE OF RESERVES (NOT COMMITTED NOR HELD IN TRUST)

Reserve	Revised Balance of Reserves 2012/13 £'000	Reason for/purpose of the Reserve	Planned Use of Reserves					Estimated Balance at 31/03/16 £'000
			2012/13	2013/14	2014/15	2015/16	Total	
			£'000	£'000	£'000	£'000	£'000	
Seaside Grant	200	Funding set aside to fund expenditure commitments on a Capital Project.	0	(200)	0	0	(200)	0
Connect to Work	53	Ring fenced grant earmarked for the Connect to Work programme which is over more than one year. (Supporting C & A priorities).	(30)	(23)	0	0	(53)	0
CSCS Test	4	Earmarked to support development/continuation of Jobsmart Test Centre.	0	(4)	0	0	(4)	0
Social Housing New Build - Major Repairs	35	Ring-fenced reserve created from rental income which represents a Major Repairs Fund. This funding is set aside to fund repairs over the lifetime of the housing stock.	80	0	0	0	80	115
Baden Street	40	Balance required to fully implement phase 1 of the scheme approved by Members.	(13)	(27)	0	0	(40)	0
Furniture Project	50	To implement the findings of the scrutiny review into reduction of child poverty and increasing access to affordable credit.	(6)	(25)	(19)	0	(50)	0
Village Green Hearings etc	20	Reserve earmarked to fund various risks including the cost of village green hearings in 2012/13 and the loss of income from Industrial Estates.	(20)	0	0	0	(20)	0
H & S Training	20	Legislative requirements for operational staff to be trained to HSE set standards.	(20)	0	0	0	(20)	0
Team Around Household (Troubled Families)	39	Specific funding allocated to fund the Team Around Household project which is part of the Troubled Families Plan.	(39)	0	0	0	(39)	0
Community Safety (LSSG)	23	Specific funding carried forward. Community Safety Grant (LSSG) administered and controlled by the Safer Hartlepool Partnership and earmarked to fund Victim Support Work in 2013/14.	0	(23)	0	0	(23)	0
Neighbourhood Mgmt Public Health Grant	1	Public Health Grant balance carried forward to publicise the Cold Weather Plan projects.	(1)	0	0	0	(1)	0
Public Health Grant - Housing	55	Public Health Grant awarded in 11/12 to invest in improvements to housing to increase the quality of homes in the town.	(25)	(30)	0	0	(55)	0
Trading Account Reserves - Engineering Consultancy	100	Reserve created to manage Trading Activities over more than one year. This is earmarked to fund potential income shortfalls in future years or potential bad debts in this area.	0	(50)	(50)	0	(100)	0
Trading Account Reserves - Fleet	100	Reserve created from a surplus on the Fleet account in 11/12. This is needed to cover future repairs and maintenance costs over the whole life of the fleet so that annual charges to clients can remain static over the lifetime of the vehicle.	(20)	(20)	(60)	0	(100)	0
Trading Account Reserves - Plant Replacement	40	Reserve created to fund the costs associated with Plant Equipment over more than one year e.g. repairs and maintenance or replacement costs.	0	(40)	0	0	(40)	0

HARTLEPOOL BOROUGH COUNCIL - RESERVE BALANCES AS AT 1ST APRIL 2012
4.2 - Appendix 2
PLANNED USE OF RESERVES (NOT COMMITTED NOR HELD IN TRUST)

Reserve	Revised Balance of Reserves 2012/13 £'000	Reason for/purpose of the Reserve	Planned Use of Reserves					Estimated Balance at 31/03/16 £'000
			2012/13	2013/14	2014/15	2015/16	Total	
			£'000	£'000	£'000	£'000	£'000	
Trading Account Reserves - Passenger Transport	45	Reserve created to manage the risk of income shortfalls in future years in a developing trading area of private hire.	0	(45)	0	0	(45)	0
Digital City	30	To cover Hartlepool's contribution towards the operation of the Digital City Business Initiative for three years. This will assist in the development of a sub regional sustainable specialist business support programme.	0	0	(30)	0	(30)	0
Business Grants	112	Funding transferred from existing reserves to support Business Grants in 2012/13.	(112)	0	0	0	(112)	0
Conservation Grants	75	Funding transferred from existing reserves to support Conservation Grants in 2012/13.	(75)	0	0	0	(75)	0
Works to Focus Site - Fuel Provision	25	Funding earmarked to support the relocation of staff from Tanfield Road to the Focus site.	(25)	0	0	0	(25)	0
Strategic One Off Costs - Council Capital Fund	1,000	This reserve has been created to partly fund strategic one off costs identified in the 2012/13 MTFS of £14m. This element covers the 2012/13 Council Capital Fund.	(1,000)	0	0	0	(1,000)	0
Strategic One Off Costs - Redundancy	6,637	This reserve has been created to partly fund strategic one off costs identified in the 2012/13 MTFS of £14m. This element covers the estimated costs of redundancy/ early retirement over the period of the MTFS. The 2013/14 MTFS proposes increasing this reserve by £2m.	1,500	(2,000)	(4,136)	(2,001)	(6,637)	0
Strategic One Off Costs - Housing Market Renewal	291	This reserve has been created to partly fund strategic one off costs identified in the 2012/13 MTFS of £14m. This element partly funds Housing Market Renewal Commitments.	(86)	(205)	0	0	(291)	0
General Fund	4,338	The General Fund Balance of £4.338m held at 31st March 2012 consists of the minimum uncommitted recommended balance of £3.462m, which is held to meet unforeseen commitments not funded from Earmarked Revenue Reserves and additional monies which the Council determined should be held within this reserve of £0.876m. As part of the 2011/12 outturn and the decisions taken as part of the 2012/13 budget full Council approval is needed to release these additional monies. These monies were funded from the following contributions: Release of uncommitted Job Evaluation Provision £0.545m, 2011/12 Final Outturn £0.306m and Right to Buy Income 2011/12 £0.025m.	(100)	0	0	0	(100)	4,238
Insurance Fund	3,790	The Insurance Fund has been established to provide for all payments that fall within the policy excess claims. Most policies provided by the Council are subject to an excess.	0	0	0	0	0	3,790

PLANNED USE OF RESERVES (NOT COMMITTED NOR HELD IN TRUST)

Reserve	Revised Balance of Reserves 2012/13 £'000	Reason for/purpose of the Reserve	Planned Use of Reserves					Estimated Balance at 31/03/16 £'000
			2012/13	2013/14	2014/15	2015/16	Total	
			£'000	£'000	£'000	£'000	£'000	
Strategic Risk Reserve	2,178	This risk reserve was set up to cover income shortfalls in car parking, land registry charges and the shopping centre, one-off equal pay and a shortfall in salary abatement targets.	(500)	(1,678)	0	0	(2,178)	0
Transitional Support to Offset Council Tax Cuts	1,197	£0.670m of this reserve will be used to support the implementation of a local Council Tax Support scheme over the period 2013/14 to 2016/17. The remaining balance of £0.527m will be used to manage in year risks. This was agreed by Council on the 24.01.13.	0	(10)	(20)	(290)	(320)	877
Support 12/13 Loss of Council Tax Freeze Grant	727	This reserve was created to mitigate the loss of the 2012/13 Council Tax Freeze Grant.	(348)	(379)	0	0	(727)	0
Supporting Family Poverty	319	Reserve established in 2011/12 to support the reduction of Child poverty. Any use of this reserve requires Council approval.	(10)	(160)	0	0	(170)	149
Building / Development Control Income Shortfall	260	This reserve was created to cover income shortfalls owing to the weakness in the economy.	(260)	0	0	0	(260)	0
Income Shortfall 2013/14	0	This reserve was created as part of the 2012/13 outturn strategy to cover income shortfalls owing to the weakness in the economy.	500	(500)	0	0	0	0
Accommodation One -off Costs Reserve	0	This reserve was created as part of the 2012/13 outturn strategy to cover one off costs which need to be incurred to achieve future accommodation savings.	119	(119)	0	0	0	0
Future Project Investigation Costs	250	This reserve was originally held to investigate future benefits of projects which would have on-going revenue savings.	0	0	0	0	0	250
Carbon Reduction	231	The Carbon Reduction Commitment is a mandatory scheme aimed at improving energy efficiency and cutting emissions in large public and private sector organisation, this reserve is set aside to fund the payment of Carbon Allowances in 2012/13, 2013/14 and 2014/15.	(80)	(80)	(71)	0	(231)	0
Business Transformation Set Up Costs	209	These funds were set aside for implementation costs of the Business Transformation Programme and will now be used to fund costs associated with the 3 borough collaboration project which aims to deliver ongoing savings of £2.297m (£1.597m People and £0.700m Corporate) as reported to Cabinet in the MTFS on 4.10.12.	(82)	(127)	0	0	(209)	0
Members Ward Issues	182	Used to fund ward issues for Members.	(182)	0	0	0	(182)	0

HARTLEPOOL BOROUGH COUNCIL - RESERVE BALANCES AS AT 1ST APRIL 2012

4.2 - Appendix 2

PLANNED USE OF RESERVES (NOT COMMITTED NOR HELD IN TRUST)

Reserve	Revised Balance of Reserves 2012/13 £'000	Reason for/purpose of the Reserve	Planned Use of Reserves					Estimated Balance at 31/03/16 £'000
			2012/13	2013/14	2014/15	2015/16	Total	
			£'000	£'000	£'000	£'000	£'000	
Pension actuarial reserve	122	This reserve was created to manage pension costs over a 3 year period of the current actuarial valuation, which cover the period up to 2014/15.	90	0	0	0	90	212
Mayoral Referendum Reserve	70	To fund one off costs of holding a referendum.	(70)	0	0	0	(70)	0
Concessionary Fare	60	This reserve covers the tri-annual cost of replacing concessionary fares passes.	(60)	0	0	0	(60)	0
Core Strategy Inquiry	33	To support the future costs of undertaking the Local Plan review which occurs every 3 to 5 years.	0	(33)	0	0	(33)	0
Works in Default Empty Homes	50	This reserve was created to fund works in Default Empty Homes.	(11)	(39)	0	0	(50)	0
Business Rates Retention - Power Station	0	This reserve was created from the 2012/13 outturn to fund potential shortfalls in Business Rates should the Power Station close during the year.	1,000	0	0	0	1,000	1,000
Training for Staff on Redeployment Register	50	To fund costs of retraining staff on the redeployment register as agreed by Council 23.02.12.	(1)	(49)	0	0	(50)	0
Seaton Carew Youth Club	30	Funding to keep the Youth Centre open for an additional year whilst options are progressed.	(30)	0	0	0	(30)	0
Treasury Management Risk Reserve	0	As part of the 2013/14 MTFS Council agreed the creation of this reserve to manage the risk of interest rates increasing over the period of the MTFS.	850	0	0	0	850	850
NDC Fund	8	Reserve established from NDC under spend and will be transferred to the NDC Trust.	(8)	0	0	0	(8)	0
Salary Sacrifice	6	This reserve was created in 2010/11 to Pension Savings generated by the Salary Sacrifice for Cars scheme to fund future pensions liabilities.	23	0	0	0	23	29
One Off Commitments 2012/13	2,280	This reserve was created following the review of Reserves to support the one off commitments 2012/13 as reported to Cabinet 19th February 2013	(2,280)	0	0	0	(2,280)	0
GRAND TOTAL	31,609		(2,560)	(8,499)	(5,493)	(2,798)	(19,350)	12,259

Department for Communities and Local Government
FAO Andrew Lock
Zone 5/J2
Eland House
Bressenden Place
London
SW1E 5DU

Dear Secretary of State,

Provisional Local Government Finance Settlement 2013/14 and 2014/15

In response to the announcement of the above details I will not be seeking a meeting to discuss the impact of the settlement on Hartlepool. However, I wish to take this opportunity to express the significant concerns I have regarding the impact of the settlement on Hartlepool.

As I have done in responses to the Local Government Finance Settlement in previous years I will also make suggestions on how the settlements for 2013/14 and 2014/15 can be made fairer.

Spending Power - In previous responses to the 2011/12 and 2012/13 Local Government Finance Settlements I have recognised that the Government has determined it wishes to reduce the public sector deficit. However, I have raised significant concerns that some areas, including Hartlepool, suffered disproportionate cuts in spending power in 2011/12 and 2012/13 when grant cuts were front loaded. I also raised concerns that the simplistic comparison of spending power does not address the different spending needs between different areas, which until 2011/12 were a key feature of the Local Government funding system.

I therefore, requested that this position should be reviewed and a fairer settlement implemented for all authorities for 2013/14 and future years.

The provisional settlements for 2013/14 and 2014/15 do not address these concerns and continues the trend of disproportionate grant cuts for Hartlepool. Whilst, I recognise that your preferred measure for assessing grant reductions is the percentage change in spending power, I do not believe this fully reflects the service demands on individual councils in different parts of the country. I am concerned that the headline percentage reduction in spending power understates the different financial challenges facing individual authorities.

I fully appreciate that using the Government definition of 'Spending Power' Hartlepool will still have a higher 'Spending Power' than the other Councils in 2013/14. However, the Government needs to recognise that Hartlepool will again be faced with a disproportionate cut in 'Spending Power' compared to many other Councils in more affluent areas and this approach does not address the relative needs of different communities. This position is clearly illustrated by considering the unfairness of the reduction in Hartlepool's spending power per person in 2014/15

which will be the 7th highest in the Country. This reduction needs to be seen in the context of Hartlepool having an IMD ranking of 24 out of 326 authorities.

I am extremely concerned that communities with the greatest dependency on Government grant funding continue to face the biggest spending cuts. This will impact on service users and the Councils ability to rebalance the local economy by promoting economic development and job creation in the private sector.

Suggestion for improving fairness of Spending Power cuts

To address these concerns and to provide a fairer settlement for all Councils I believe that ‘Spending Power’ reductions should be based on a flat rate reduction per dwelling, or per resident. This approach would avoid the disproportionate cuts in ‘Spending Power’ being experienced by some of the most deprived communities, including Hartlepool and mean that the residents of all areas are contributing equally to the Government’s deficit reduction plan.

In addition, to help Councils explain the impact of funding cuts the Government needs to publish details of actual percentage grant cuts for individual Councils alongside spending power cuts.

2014/15 Provisional Allocations – The provisional allocations for 2014/15 are extremely concerning and propose very significant additional cuts in funding which will be locked in for future years. Given the cuts implemented over the period 2011/12 to 2013/14, which had a disproportionate impact on the most deprived communities, this position needs to be reviewed and addressed before the 2014/15 settlement is determined. These concerns are exacerbated by the continuation of damping protection which means that some of the poorest Councils are protecting more affluent Councils and this protection will be locked in until 2020 when the first reset is completed.

The communication update provided on 10th January 2013 does not provide the necessary clarity regarding the level of ‘Council Tax Support Funding’ for 2014/15. It seems perverse that other grants (such as the Early Intervention Grant, Learning Disability and Health Reform Funding) continue to be shown as separate amounts in both 2013/14 and 2014/15, particularly when these relate to less contentious areas and in some cases much smaller amounts of funding.

Given the importance of the Council Tax Benefit changes and the additional risk transferring to Councils the Government needs to provide as much transparency as possible and to work with Councils to implement this change to avoid the problems that arose when the Community Charge was implemented. Without clarity regarding funding for Council Tax support the Government risks destabilising the Local Government funding system and the level of funding available to fund services.

These challenges are greater for areas like my own where there are a higher proportion of people currently in receipt of Council Tax Benefit. This is an historic position and reflects the national system of Council Tax Benefit which has operated for many years. It is unrealistic to think individual Councils can change this position

significantly in the short-term, particularly in light of current economic conditions. It is therefore essential that funding for local Council Tax Support schemes is identified separately in 2013/14 and future years.

I am pleased that the Learning Disability and Health Reform funding is identified separately for 2014/15 as this provides transparency for this area and hope the Government maintains this position in future years.

Suggestion for improving fairness of funding allocations

The 2014/15 allocations are reviewed before the settlement is finalised to provide a settlement which is fair for all areas of the Country.

Council Tax Support Funding for 2014/15 and future years should continue to be shown as separate amounts to ensure Councils and the Government can assess the impact of this funding change and to take any corrective action which may be necessary.

Additional 2% grant cuts 2014/15 – I welcome the Government's decision not to make the additional 1% grant cuts in 2012/14 and recognition of the contribution Councils have made over the last two years to reduce costs. However, I am extremely concerned that additional grant cuts of 2% will be implemented in 2014/15 and this money used to fund infrastructure investment. This proposal will again penalise some of the most deprived communities and mean that these areas face additional funding cuts to fund infrastructure projects, which I suspect will benefit more affluent areas.

Suggestion for managing additional 2% grant cuts

Replace need to make additional 2% grant cuts by scaling back New Home Bonus payments in 2014/15.

Council Tax Freeze – The Council has supported the Council Tax Freeze in previous years. However, for 2013/14 we do not think we can support this initiative owing to the ongoing impact of grant cuts in 2013/14 and future years. The Government needs to recognise that at a time of ongoing grants cuts that increasing Council Tax needs to be a local decision. Therefore, to protect the Council's resource base we are unlikely to accept the Council Tax Freeze Grant in 2013/14. My Council is well aware of the impact of increasing Council Tax on households and also on our own budget when Council Tax Support is localised. We are also aware of the grant cuts we face over the next few years and in the longer term accepting the Council Tax Freeze Grant for 2013/14 will increase the budget cuts which need to be made.

The reduction in the Council Tax Freeze Grant to 1% also fails to recognise the additional budget pressures facing Councils from a range of factors, including increased demographic pressures from an aging population, increased numbers of Looked after Children, above inflationary increases in energy costs and RPI linked increases in Business Rates.

It seems perverse that those authorities which are least dependant on Government Grant and able to raise more of their resources from Council Tax gain the most from the Council Tax Freeze arrangements.

It also seems perverse that authorities that do not accept the grant to limit Council Tax Support reductions to 8.5% will still be able to access the Council Tax Freeze Grant.

My Council has worked hard to develop a Local Council Tax Support scheme and welcomes the additional one-off grant for 2013/14 for Councils which limit the reduction in Council Tax Support next year to 8.5%. We are only able to access this funding as a result of actions taken in 2011/12 to put money into reserves to phase in the changes to Council Tax Support and to manage the new risks transferring to Councils.

Suggestion for improving fairness of Council Tax Freeze arrangements

To address these concerns it is suggested that the Council Tax Freeze grant is increased to 2% for 2013/14 and paid as a permanent additional grant and funded by reducing the amount of money paid out as New Homes Bonus.

Reserves – I am concerned that the comments made in Parliament that Councils are sitting on £16 billion of reserves did not address the reasons individual Councils have for holding these reserves.

In 2011/12 as part of the Council's four year Medium Term Financial Strategy we developed a very clear strategy for using reserves to help manage the financial challenges facing the Council. This includes using reserves to fund:

- specific one-off expenditure commitments we face over the next 3 years, including redundancy costs arising from ongoing grant cuts and the need to reduce budgets. In previous years the Council has not applied for capitalisation directives to fund these costs as these issues have been managed locally by having a robust financial strategy;
- to support the 2013/14 budget to provide a longer lead time to identify permanent budget reductions;
- and to manage additional financial risks transferring to Councils in April 2013. These risks include managing potential increases in demand for Council Tax Support and the potential impact of in-year reductions in Business Rates, not covered by the safety net arrangement. The latter issue is a major risk for Hartlepool as the Nuclear Power Station is the most significant Business Rate payer in the town and contributes around 17% of the total Business Rates received by the Council. The rates payable reduce if the Power Station produces less electricity. We are meeting Brandon Lewis next month to discuss these concerns.

I believe that our strategy on reserves is robust and an integral part of the Council's Medium Term Financial Strategy, which seeks to manage ongoing cuts in Government grant over a number of years. It is unhelpful to make sweeping comments about the overall level of Council reserves without understanding the financial issues and risks individual authorities will be required to manage over the next few years, or the plans they have put in place to manage these issues. National

headlines do not help individual Councils manage this position and the Government needs to work with Councils to help explain the complex financial issues they are managing.

Early Intervention Grant

The Council has developed a far reaching Early Intervention Strategy based on the recommendations of several national reviews in particular the Allen Review of Early Intervention which highlights the importance of giving children the right type of support in their earliest years. The Allen Review recommendations are endorsed by Professor Eileen Munro in her review of child protection where she highlights it is better to prevent harm from occurring than responding after harm has occurred. With this in mind the Hartlepool Early Intervention Strategy aims to provide children and their families with the right level of support at the point need emerges to prevent any difficulties from becoming more acute and complex. The strategy has been operational for just under a year and early indications are that a greater number of children in Hartlepool are receiving appropriate support to promote their well being and improve outcomes. However the strategy is long term and will take several years to fully achieve. A Safeguarding Peer Review undertaken by the Children's Improvement Board highlighted the strategy and its implementation as an area of good practice that was making a difference for children and their families in Hartlepool.

The Early Intervention Strategy is closely aligned in Hartlepool with the Troubled Families initiative, these two strands of Government policy are complementary and inter dependent. Families identified as meeting the criteria for Troubled Families benefit from the services currently delivered through the Early Intervention Strategy such as access to the Early Years Pathways for all families living in hotspots in the town and activities for young people delivered in partnership with the voluntary and community sector.

The proposed 13% cut to the Early Intervention Grant for Hartlepool will have a significant detrimental impact. The level of cut from 2013/14 renders the current strategy undeliverable and as a consequence, it will be necessary to fully review and scale back the strategy and service delivery model. The impact of this will be that the Council will no longer have the capacity to deliver the range of services to support prevention and early intervention and will have increased reliance on more costly statutory services such as children's social care and the Youth Offending Service. This is in direct conflict with the Troubled Families initiative aimed at reducing reliance upon and demand for high cost services.

I hope the above comments are helpful and the Government addresses these concerns before the final settlement is published.

Stuart Drummond
Elected Mayor

SCHEDULE OF 2013/14 PRESSURES
4.2 - Appendix 4

Description of pressure	Value of pressure		
	Reported 04.10.12 £'000	Additional pressure identified since 04.10.12 £'000	Total £'000
Corporate issues			
<u>Brierton Community Sports</u> Actual pressure exceeds provision included in base budget from 2012/13.	65	0	65
Income pressures - these issues relate to the 2.5% inflation increase included in the MTFS forecast which is not expected to be achieved for areas previously identified as shortfalls in the 2012/13 budget and addressed as budget pressures covering			
<u>a) Shopping Centre income inflation</u> Income depends on occupancy of shop units and it is not expected that the Council's share of rental income will increase in the current economic climate.	24	0	24
<u>b) Car Parking income inflation</u> Car Parking - owing to the current economic climate it is not recommend that an increase in car parking charges is implemented in 2013/14. Furthermore, owing to the practicalities of setting an increase which generates increases in multiples of 5p a higher increase than 2.5% would be required. It is therefore recommended that no increase is applied for 2012/13. The position can be reviewed for 2014/15.	37	0	37
<u>Council Capital Fund</u> A one-off Council Capital Fund of £1m was established as part of the 2012/13 budget proposals and included in the 'one-off strategic costs', to cover capital priorities in 2012/13 and 2013/14. Council approved commitments against this fund of £0.582m, leaving an uncommitted balance of £0.418m (this increased from £0.368m to £0.418m as West View Cemetery Lodge and Carnegie schemes did not progress) for additional schemes which need Cabinet and Council approval. The pressure shown would support Prudential Borrowing of approximately £0.6m in 2013/14 (actual value of capital spending depends on specific schemes approved which will have different operational lives). When account is taken of the brought forward resources there will be £1.070m to manage one-off capital risks. Detailed proposals for using part of this funding is set out in section 11 and final proposals will be reported in February 2013.	50	0	50
Regeneration and Neighbourhood Services			
<u>NFFO (Non Fossil Fuel Obligation)</u> The Government have removed the 27% 'credit' SITA and the Council received since the start of the contract. This was part of the contract and always planned.	279	0	279
<u>Landfill Tax</u> There is an annual increase in Land Fill Tax of £8 per tonne, which includes the bottom ash from the incinerator.	29	0	29
<u>Loss of LPSA funding</u> The Independent Domestic Violence Advisor (£20k) and Men's Perpetrator Programme (£15k) are services included in the Domestic Violence specification, which has recently been commissioned. The Victims Services Officer (£20k) is linked to Neighbourhood teams and covers all crime categories.	55	0	55
<u>Street Lighting Pressure</u> It had previously not been anticipated that the Carbon Reduction Commitment (CRC) would apply to street lighting. However, from 2013/14 the CRC will apply to street lighting and it is anticipated this will increase costs by £50k. It is envisaged that for 2013/14 (and probably 2014/15) this additional cost can be funded from the overall electricity budget of the Council as costs have not increased as much as previously forecast owing to action taken by NEPO (North East Purchasing Organisation) to secure to lower energy prices for 2013/14.	0	0	0
Child and Adult Services			
<u>Looked After Children</u>	0	96	96
Total Potential Pressure Identified	539	96	635

SUMMARY OF KEY FINANCIAL ASSUMPTIONS UNDERPINNING THE BUDGET

Budget Assumption	Financial Standing and Management
The treatment of inflation and interest rates	<p>The proposed resource allocations for 2013/14 include 2.5% for anticipated general inflation on non pay expenditure. In addition, where it is anticipated costs will increase by more than inflation these issues have been specifically reflected in the pressures included within the budget requirement.</p> <p>Interest exposure is managed through the Treasury Management Strategy.</p>
The treatment of demand led pressures	Individual Portfolio Holders and Directors are responsible for managing services within the limit of resource allocations and departmental Risk and Strategic Change Provisions. If these resources are inadequate the Council's Managed Under/Overspends Policy provides flexibility to manage the change over more than one financial year.
The treatment of planned efficiency savings/productivity gains	All Directors have a responsibility to deliver services within the approved resource allocations. Where departmental efficiencies are planned it is the individual Directors responsibility to ensure they are implemented. Any under achievement would be dealt with on a temporary basis through the managed overspend rules until a permanent efficiency is achieved. The main areas of efficiencies in 2013/14 are departmental savings. Work undertaken during 2012/13 to deliver these savings in advance makes the 2013/14 budget position more robust and sustainable.
The availability of other funding to deal with major contingencies and the adequacy of provisions	<p>The Council's approved Managed Underspend and Strategic Risk and Change initiatives are well understood and provide service departments with financial flexibility to manage services more effectively. These arrangements help to avoid calls on the Council's corporate reserves.</p> <p>The Council's insurance arrangements are a balance between external insurance premiums and internal self insurance. The value of the Council's insurance fund has been assessed and is adequate to meet known reserves on outstanding claims.</p>
The strength of financial reporting arrangements and the Authority's track record of budget monitoring	The Council's financial reporting arrangements include the identification of forecast outturns for both revenue and capital areas. These arrangements ensure problems are identified and corrective action taken before the year end, either at departmental or corporate level. These arrangements have worked well and have enabled the Council to strengthen the Balance Sheet over the last few years.
Equal Pay / Equal Value Claims	<p>The Council has completed the detailed evaluation of all jobs and developed a new pay and grading structure, which was implemented with effect from 1st April 2007. The Council has substantially completed Job Evaluation Appeals.</p> <p>The Council is also facing the risk of Equal Value Pay Claims. Accordingly, the Council has set up a Single Risk Reserve to fund such risks.</p>

Report of: Assistant Director – Adult Social Care

Subject: SAVINGS PROGRAMME 2013/14 – ADULT SOCIAL CARE

1.0 PURPOSE OF REPORT

- 1.1 The purpose of the report is to identify the proposals for delivering savings in respect of adult social care as part of the budget for 2013/14.

2.0 BACKGROUND

- 2.1 The report details one of the reviews which forms part of the 2013/14 Savings Programme

- 2.2 The proposals in the report identify the savings to be made, the risks associated with these and the considerations which have been taken into account in developing them including consideration of key elements which together comprise SROI.

2.3 Scope

The areas of expenditure that are under consideration within this review are as follows:

Assessment & Care Management

- Social Work Teams
- Adult Safeguarding
- Occupational Therapy Team

Residential Placements

Personal Budgets

- Home Care
- Equipment
- Day Services
- Supported Accommodation
- Direct Payments (allocations to people to use as they wish to meet their care and support needs)

2.4 Aims

The focus of adult social care is to support people to remain independent and to exercise choice and control regarding how their support needs are met. Some services are provided by the department (including assessment and care management and disability day services) and others are

commissioned for people (such as residential placements and day services for older people).

2.5 Service Users

People who use adult social care services in Hartlepool are over 18 and assessed against the Fair Access to Care Services (FACS) criteria as having a substantial or critical level of need. Services support older people, people with learning disabilities or a physical disability, people with mental health needs, people who have alcohol dependency and carers.

2.6 Engagement

The department engages with people who use services through a range of methods including:

- Carers Strategy Group
- Learning Disability Partnership Board
- Mental Health Forum
- Champions of Older Lifestyles Group
- Service User Focus Groups; and
- Family Leadership Courses

Feedback is also obtained through the annual Adult Social Care User Survey, Service User Experience Sampling and through complaints and compliments.

The first Local Account for adult social care was published in December 2012 and tells residents about:

- how well adult social care in Hartlepool has performed
- the challenges faced; and
- plans for future improvements

It is a requirement that a Local Account is produced annually and feedback on the first published document in 2012 will inform future versions.

2.7 Inputs / Expenditure

The total expenditure on adult social care is £41.1m, with £8.2m income from people's personal contributions and a further £3.7m from other income (primarily NHS funding).

The breakdown of how the £41.1m is spent is as follows:

Area of Expenditure	Spend
Assessment & Care Management	£6.2m
Residential Placements	£17.5m
Personal Budgets	£17.4m

The breakdown of spend on personal budgets is as follows:

Area of Expenditure	Spend
Home Care	£6.85m
Direct Payments	£4.5m
Supported Accommodation	£1.87m
Day Services	£1.8m

Equipment	£1m
Other	£1.38m

2.8 Outputs / Outcomes

The Care Quality Commission no longer assess or rate adult social care service provision but the last two assessments rated Hartlepool's services as excellent – the best rating that could be achieved. Since the last assessment, services have continued to perform well and the majority of the performance indicators for adult social care have been achieved or exceeded.

Some of the outputs achieved are as follows:

- Over 5,700 people receive support from adult social care services.
- Over 2,000 carers had an assessment during the last year and received support to maintain their caring role.
- The number of people using telecare continues to grow with almost 900 people currently being supported.
- People received over 5,200 pieces of equipment to help them stay at home.
- Over 95% of people receive their equipment and adaptations within 7 working days.

Some areas where particularly positive outcomes have been achieved include:

- Just over 90% of people who have ongoing social care needs and are eligible to receive a personal budget have their support provided through a personal budget and exercise choice and control over how their support needs are met.
- Over 18% of people with a learning disability and approximately 12% of people receiving mental health services are in paid employment.
- Hartlepool has not had a delayed transfer of care from hospital which is attributable to social care.
- A wide range of services have been developed to support older people to retain their independence. These include reablement services, extra care housing options and telecare.

2.9 Savings Target

The savings target for the Child & Adult Services Department for 2013/14 is £2,580,000 and £860,000 of this target relates to Adult Social Care.

3.0 **PROPOSALS**

3.1 Commissioned Services

There are a range of services that are commissioned by the department to support people who are eligible for adult social care services. These include:

- Carers Assessment and Information Services
- Direct Payment Support Service

- Housing Related Support (extra care housing, floating support and supported accommodation schemes)
- Respite Service for People with Learning Disabilities
- Day Opportunities for People with Mental Health Needs; and
- Day Opportunities for Older People

A significant level of savings was achieved from commissioned services in 2012/13 and all services have been reviewed again to identify areas where further savings can be made in 2013/14.

There are two commissioned services which provide building based day opportunities for older people – a day centre at Hartfields and a service specifically for people with dementia at Gretton Court (which is jointly funded by the PCT). Ongoing work with the day centre for older people at Hartfields has identified a saving of £120,000 due to lower uptake of places than was anticipated when the service was originally commissioned. This is largely due to people using direct payments to access support and social activities in different ways. There will be no reduction in service as a result of this saving being achieved, so no impact on people using the service.

A review of funding for support for carers has identified that a saving of £80,000 can be made through changing how some services are delivered and also through additional funding being secured from the PCT. For example, the support required when carers access the Carers Emergency Respite Service is now provided through the in-house Direct Care & Support Service and a new three year contract for Carers Assessment and Support will be jointly funded rather than being fully funded by the Council. There will be no reduction in service as a result of this saving being achieved; there will be additional investment from the PCT in carers services which will support carers to meet their own health needs. There will be no adverse impact on carers who are currently being supported.

A review of high cost placements for people with learning disabilities has identified a saving of £40,000. This saving has been achieved through negotiation with providers to ensure that people are receiving appropriate levels of care and hours of support based on their individual assessed needs. Again, there will be no reduction in service as a result of this saving being achieved, so no impact on people receiving this support.

The total saving from commissioned services is £240,000.

3.2 Equipment Budget

Approximately £1m is spent each year on equipment and adaptations that enable people to retain their independence and stay in their own homes for as long as they are able to. The type of equipment supplied includes;

- Mobility aids such as walking sticks and walking frames
- Grab rails
- Bathing aids; and
- Daily living aids that help with dressing, cooking and cleaning.

The budget has been under spent for the last three years and the balance has been used to support Disabled Facilities Grants (which fund larger adaptations such as level access shower rooms and downstairs bath or bedrooms) or to offset pressures elsewhere within the adult social care budget. This under spend of £100,000 has now been identified to contribute to the adult social care savings for 2013/14.

3.3 Provider Services

There are a small range of services which are provided in-house by adult social care. These are:

- Direct Care & Support Service – Reablement and Home Care
- Disability Day Services - Warren Road and the Centre for Independent Living (previously the Havelock Day Centre)
- Employment Link and Floating Support Service for People with Learning Disabilities or Mental Health Needs

All of these services have been reviewed and a number of areas where savings can be made have been identified. The restructure involves bringing all of the services together under a single Provider Services Manager, which will reduce management costs and enable more flexible working across services, making best use of the skills and experience of the current staff.

Within the Direct Care & Support Service there are a number of unworked hours / vacant posts which have been held, partly as a contingency to manage peaks in demand and partly to create redeployment opportunities for staff identified as being at risk in other areas of the service. The saving that can be identified in this area, while still retaining some posts for redeployment, is £200,000.

The proposed restructure within Disability Day Services involves reducing tiers of management, making the service more streamlined without having a direct impact on the people who are supported at Warren Road and the Centre for Independent Living. This will involve deleting seven posts (including two vacancies) and creating three new posts.

The Employment Link and Floating Support Service supports people with mental health needs and / or learning disabilities to access employment and services within their communities. The team is made up of:

- 1 Band 12 Team Manager
- 1 Band 10 Supervisor
- 3 Band 8 Employment Link Workers
- 7 Band 8 Floating Support Workers
- 4 Band 6 Community Workers
- 1 Band 6 Team Clerk

The Employment Link element of the service supports a total of 116 people with 12 new referrals in 2011 and 35 referrals in 2012 (linked to the introduction of a new apprenticeship scheme). It is proposed that the team

of three Employment Link Workers moves to be managed within the Employment Development Team in Economic Regeneration. This is a more effective use of resources and will mean that people with additional support needs due to their learning disability or mental health issues will be able to access the generic employment support service while still having access to staff with the particular knowledge and expertise required to meet those needs. This model provides greater resilience within the Employment Development Team and promotes the integration of people with additional needs within mainstream services.

The floating support element of the service provides a service to approximately 80 people at any one time, supporting people to access community services, build their confidence and become more independent. A review of the service has identified that the work undertaken and the focus on increasing independence is very similar to the approach taken within the reablement service although with smaller caseloads and slower throughput. As a result, it is proposed that this service is disbanded and all posts are deleted, with four new posts created within the reablement service to pick up this element of work. A total of fourteen posts would be deleted with four new posts created within the reablement team to absorb some of this work and to provide redeployment opportunities. The loss of this number of posts will inevitably result in a change or reduction in service for some people. Individuals who are affected will be offered support to use their personal budget differently to access services through a Personal Assistant or other alternative.

The proposed restructures within disability day services, employment link and floating support service will achieve a saving of £320,000. Together with the removal of vacant posts / unworked hours within the home care service, the total saving from provider services is £520,000

4.0 OPTIONS ANALYSIS

4.1 Various options have been explored across Adult Social Care to achieve the savings which have been discounted, primarily due to the level of risk involved. These include:

- Reduce capacity in social work teams – considered too high risk due to impact on waiting times, performance indicators and caseloads.
- Reduce spend on residential placements – not possible in light of the fair cost of care exercise and increased pressures on residential provision.
- Reduce spend on personal budgets – this is not possible without a fundamental review of the Council's approach to personalisation and the Resource Allocation System. People who already have services could not have their resource reduced without evidence of a change in their assessed level of need.
- Increase income from personal contributions – this would require a full review of the current Contributions Policy involving a formal consultation

exercise and the level of savings that would be generated has not been quantified. This may be revisited for 2014/15.

- Increase income from the NHS – this is a very volatile area and funding secured is often allocated on a short term basis, which does not address the requirement for ongoing cuts from the general fund budget.

5.0 RISK IMPLICATIONS

5.1 There are a number of risks implicit in the delivery of any package of savings and it is important to recognise these as part of any decision making. A summary of the risks considered as part of the proposals has been identified below:

- Reduced flexibility within provider serviced to manage peaks in demand, which are usually associated with severe winters or pressures within NHS services. This may result in delayed transfers of care from hospital which are attributable to adult social care as well as tensions with the Foundation Trust if cases cannot be picked up as quickly as they have been previously.
- Reduced flexibility to manage changing demand for equipment services, which may result in increased waiting times and / or financial pressures in future years.
- Increased spend on personal budgets due to the disbanding of the floating support service for people with learning disabilities or mental health needs.

6.0 FINANCIAL CONSIDERATIONS

6.1 The Savings Programme 2013/14 is planned to deliver total savings of £3.8m towards the budget deficit for 2013/14. It has been highlighted in previous reports to Cabinet that failure to take savings identified as part of the Savings Programme will only mean the need to make alternative unplanned cuts and redundancies elsewhere in the Authority to balance next year's budget.

6.2 The proposals outlined will deliver the following savings:-

Service	Proposed Savings
Commissioned Services	£240,000
OT Equipment Budget	£100,000
Provider Services	£520,000
Total Proposed Savings	£860,000

6.3 The proposals in relation to Provider Services involve a number of posts being deleted, which will result in redundancy costs. The exact costs can't be determined until redeployment opportunities are fully explored and the relevant redundancy selection processes are undertaken.

7.0 EQUALITY AND DIVERSITY CONSIDERATIONS

- 7.1 An Equality Impact Assessment has been undertaken and is attached as Appendix A.
- 7.2 By definition, all of the savings proposals in adult social care will affect the people who access adult social care services – people who are over eighteen and assessed against the Fair Access to Care Services (FACS) criteria as having a substantial or critical level of need (older people, people with learning disabilities or a physical disability, people with mental health needs, people who have alcohol dependency and carers).

8.0 STAFF CONSIDERATIONS

- 8.1 Informal consultation with Trade Unions regarding the recommendations has been undertaken. Staff affected by the proposals have been informally and formal consultation will be undertaken (in line with agreed HR policies and procedures) if the proposals are accepted.
- 8.2 It is anticipated that a total of 21 posts will be deleted resulting in 13 potential redundancies and 8 people being redeployed into posts that are being held / created to reduce the impact on staff. Of the 13 people at risk of redundancy there have been 5 expressions of interest in voluntary redundancy leaving 8 people at risk of compulsory redundancy if the voluntary redundancy applications are approved and they are not successfully redeployed.

9.0 COMMENTS FROM SCRUTINY REVIEW

The Adult & Community Services Scrutiny Forum considered the savings proposals for adult social care at their meetings on 17 September, 23 October and 5 November 2012.

In relation to the savings proposals put forward 'Members of the Adult and Community Services Scrutiny Forum were mindful of the very difficult financial position and the required savings required in Adult and Community Services. Although Members reluctantly recognised the need to support a number of the saving proposals they wished to draw Cabinet's attention towards the desire to protect vulnerable people wherever possible from cuts, particularly when related to mental health needs'.

In relation to reductions in front line service provision 'Members were particularly concerned about the proposed staffing implications through the deletion of 15-20 posts. Although the Forum acknowledged that savings had to be found, they emphasised that if there was a way to protect staff from compulsory redundancies, then those avenues should be explored'.

10.0 RECOMMENDATIONS

It is recommended that Cabinet support the proposals outlined, which will achieve savings of £860,000 in adult social care in 2013/14.

11.0 REASONS FOR RECOMMENDATIONS

- 11.1** The review forms part of the 2013/14 Savings Programme, as set out in the Medium Term Financial Strategy 2013/14 to 2016/17 report to Cabinet on 11 June 2012.

12. CONTACT OFFICER

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Department	Division	Section	Owner/Officer
Child & Adult Services	Adult Social Care		Jill Harrison, Assistant Director – Adult Social Care
Function/Service	Adult Social Care Services <u>Commissioned Services</u> <ul style="list-style-type: none"> Day opportunities services for older people Services that support carers Residential placements for people with disabilities <u>Provider Services</u> <ul style="list-style-type: none"> Disability Day Services Employment Link Service Floating Support Services 		
Information Available	<p>Savings proposals have been identified following careful consideration of commissioning budgets, spend in service areas over the past three years and existing staffing structures.</p> <p>The proposed savings from commissioned services will be achieved without any reduction in service or direct impact on those people currently accessing services.</p> <p>The proposed savings from provider services will be achieved without any reduction in service or direct impact on those people currently accessing services.</p> <p>There will be less flexibility for services to respond to increased demand and less potential for one off investment in provision of Disabled Facilities Grants. People who are eligible to receive Disabled Facilities Grants will still receive the same service although there may be longer waiting times.</p> <p>People who currently access floating support services will continue to receive a service, although this will be provided by reablement workers with a specific focus on working age adults. The support will continue to focus on supporting people to access community services, build their confidence and become more independent but may be more time-limited than the current service with people encouraged to use their personal budget to access support if they have ongoing support needs and are eligible for services. In such cases, care managers will work with individuals to identify their support needs and how they can most appropriately be met. The Direct Payment Support Service is also available for people to access if they need help with managing their finances, employing staff etc. The service currently supports adults with learning disabilities and / or mental health needs who will be informed of the change in how services are provided and any negative impact will be monitored.</p> <p>The proposed savings from provider services will involve the deletion of approximately 21 posts. From the information available from workforce statistics, there is no inequity in terms of impact on staff due to their age, gender or any other protected characteristic.</p>		

Relevance <i>Identify which strands are relevant to the area you are reviewing or changing</i>	Age	X
	Disability	X
	Gender Re-assignment	
	Race	
	Religion	
	Gender	
	Sexual Orientation	
	Marriage & Civil Partnership	
	Pregnancy & Maternity	
Information Gaps	<p>Staff affected by the proposed restructure in Provider Services will be formally consulted in (line with agreed HR policies and procedures) if the proposals are accepted.</p> <p>With regards to the floating support service, whilst we know that currently the service supports 80 people at any one time to access community services, build their confidence and become more independent, we are not sure how many of these individuals can make more use of their personal budget to arrange their own support or will need support from the reablement team. We will monitor the service to ensure that the impact of the proposed changes for those who access the service is minimised.</p>	
What is the Impact	Eliminate Unlawful discrimination , harassment, victimisation, and any other conduct prohibited by the act N/A	
	Advance Equality of Opportunity , between people who share protected characteristics and those who don't N/A	
	Foster Good Relations , between people who share a protected characteristic and people who do not share it. N/A	
Addressing the impact	1. No Impact- No Major Change	
	2. Adjust/Change Policy	
	3. Adverse Impact but Continue The proposed changes to the floating support service will potentially have an impact on people who access those services who are more likely to be people with a mental health problem and / or learning disability. However, we will monitor the proposal to ensure that individuals maximise the use of their personal budget to identify more personalised support. In addition, support will still be available via the reablement service and we will monitor take up of that service.	
	4. Stop/Remove Policy/Proposal	

Action identified	Responsible Officer	By When	How will this be evaluated?
Consultation with Provider Services staff.	Neil Harrison, Head of Service	31 January 2013	Staff will have been offered the opportunity to consider / comment on proposals and put forward alternative suggestions, in line with agreed HR policies and procedures.
Communication with people using floating support services.	Neil Harrison, Head of Service	31 March 2013	People who use the services will have been offered the opportunity to consider / comment on proposals and put forward alternative suggestions.
Monitor uptake of reablement services and use of personal budgets by people currently accessing floating support services.	Neil Harrison, Head of Service	31 January 2014	Services will be reviewed to ensure that they are meeting the identified needs of individuals who are eligible for services and require ongoing support.

Report of: Assistant Director, Community Services

Subject: SAVINGS PROGRAMME 2013/14 – Community Services division of the Child & Adults department

1.0 PURPOSE OF REPORT

- 1.1 The purpose of the report is to identify the proposals for delivering savings in respect of Community Services as part of the budget for 2013/14.

2.0 BACKGROUND

- 2.1 The report details one of the reviews which forms part of the 2013/14 Savings Programme
- 2.2 The proposals in the report identify the savings to be made, the risks associated with these and the considerations which have been taken into account in developing them including consideration of key elements which together comprise SROI.
- 2.3 The services under consideration in this report are all part of the universal services provided and managed through the Community Services division. Earlier in the year there was considerable work undertaken to investigate the potential benefit of including all current services within a 'Cultural Trust'. This was originally considered as a larger collaboration model with Darlington Borough Council and then latterly, once it became clear it was not an appropriate cost saving option, some additional work was undertaken to investigate a Hartlepool model. The conclusions identified that such a move would actually cost more to implement, the biggest unknown at this point in time is the Government's intentions regarding NNDR tax relief for charities. Existing charitable trusts currently benefit from 85% tax relief on non domestic rates which can be a considerable saving. Many local authorities have considered Trusts or other forms of outsourcing for their services, from the work undertaken, the recommendation was to withhold from going down this route at the present time. This has therefore led to consideration of other more immediate savings and efficiencies to assist in meeting the departmental target for the current corporate cost savings.
- 2.4 The universal services provided within Community Services have seen significant reductions in recent years, including the reduction of senior management and amalgamation of service areas. In 2012/13, this culminated in the combining of Libraries and Museums etc into Culture and Information with the deletion of another senior manager post.
- 2.5 The services provided by the local authority are unique in scope and apart from some specialist private, educational or voluntary sector specific service

providers in sport, music and specialist heritage, the town's cultural sector provision is largely underdeveloped in broad service terms outside of those services provided by Hartlepool Borough Council. The current scope of Community Services included for consideration is wide ranging and includes:

- 2.5.1 **Culture & Information – Libraries** This area consists of a very busy central library with four branch libraries, a mobile library and home library service and the network gives excellent coverage across the town. The service was reduced by the closure of two branch libraries in 2011/12 with one being demolished and one joint library and community centre building transferring to the voluntary sector for alternative use. The home library service and the outreach activities undertaken by staff, particularly targeted at older people and children are very well patronised.
- 2.5.2 **Culture & Information – Museums, Arts & Events** A wide ranging service which provides the Museum of Hartlepool, Hartlepool Maritime Experience, Hartlepool Art Gallery, Town Hall Theatre and a wide ranging events and arts outreach programme. The service was severely reduced in size as part of the 2011/12 budget but remains resilient in providing core services to the resident and visitor alike. Visitor figures at the Museum and Art Gallery have shown good increases in the current year which is also the final year of the renaissance funding with a transition grant ending in March 2013 and as a consequence, a number of staff will leave posts as the funding ceases. The current year has seen delivery of the Diamond Festival and the Olympic Torch Relay with additional regular smaller scale events including the Seaton Fireworks Display for which we currently have one further year of very welcome private sponsorship.
- 2.5.3 **Sport & Recreation – Leisure Services** The facilities are centered on Mill House Leisure Centre, Headland Sports Centre, Brierton Sports Centre and Grayfields Recreation Ground that are supported by the Sport & Physical Activity Team providing sport, health and wellbeing programmes such as club and coach development, disability sport, fitness and exercise programmes and holiday activities for example which all contribute towards the aim of increasing participation to contribute to the Public Health Agenda. These are complemented by the vigorous Hartlepool Exercise for Life Programme (HELP) supported with PCT funding, the Outdoor Activity Team and the Community Learn to Swim Team which provides the Primary School Swim Programme as well as community lesson provision.
- 2.5.4 **Sport & Recreation - Outdoor Education** The service manages Carlton Outdoor Education Centre (OEC) and has been very successful in reducing costs and increasing income over the last two years as the centre has been robustly managed and marketed to achieve good occupancy. This has been very challenging as former local authorities have withdrawn their funding over the last 3 years and the Carlton Trustees have been very supportive of the initiatives introduced and planned.
- 2.5.5 **Sport & Recreation – Summerhill** Summerhill Local Nature Reserve (LNR) & Outdoor Activity Centre (OAC) is becoming more active as a centre

for outdoor activity. The recent cycling centre initiative and the current investment from grants and partners to improve the BMX track which will greatly improve its standing in national circuits, are real timely legacies following the 2012 Olympics. The Visitor Centre also continues to be developed with the introduction of the Emerge Gallery and the Café operation in this current year.

- 2.5.6 **Sport & Recreation** The service is also responsible for the development of projects and initiatives and is very adept at funding bid developments that have attracted considerable capital investment from external partners to support Hartlepool's sporting and recreational infrastructure. Over the years this has made the provision of facilities such as the Headland Sports Hall, King George V and Grayfields Pavilion, the extensive refurbishment of Mill House and the Rossmere Skatepark and MUGA possible. It also secures revenue partner funding year on year and delivers a wide range of health related activity to encourage participation and improve healthy lifestyles. This also includes the distribution of Public Health funding on behalf of the PCT.

2.6 SERVICE USERS

The range of services covered in this report are delivered across the whole of the Borough dealing with all age groups and abilities. Within this broad definition there are many specialist and targeted activities and these are usually in respect to well established core functions. For example with the Home Library service for housebound users, these are generally the elderly in the community and the service links well with colleagues in adult social care as part of the preventative agenda whereas the primary swimming program is targeted at primary schoolchildren who have swim standards to meet and therefore covers a different age group altogether. Similarly, the service supports the development of sporting activity from grass roots community provision to elite programmes.

All the service areas are also able to secure opportunities for grants which often have very specific output criteria to meet, therefore, in general Community Services has a very diverse range of delivery opportunities and outputs.

2.7 ENGAGEMENT

Feedback and engagement with service users and non users is obtained in a number of different ways and this is determined by the nature of the service, the target audience, the way in which the services are delivered or as previously mentioned, the criteria of any specialist funding. Examples include:

- Satisfaction questionnaires / annual customer surveys
- Active People national data
- Annual returns to funding bodies and annual inspections/monitoring
- Activity evaluation and feedback forms
- Consultation to aid project development

- Standards achieved in relation to service standards
- Quality achievement awards/Licences – e.g. VAQAS for visitor attractions, Adventurous Activity Licensing Authority (AALA) and Learning outside the classroom (LoTC) for Carlton Outdoor Education Centre and the Outdoor Activity Team. Matrix standards for library services, Quest for Leisure Facilities and the Sport & Physical Activity Team, Green Flag for Summerhill etc.
- Immediate customer feedback – compliments & complaints
- Mystery Visits
- Inspections e.g. AALA, LoTC, Quest, Green Flag etc
- Visitor / admission numbers
- Scrutiny investigations – e.g. Museum Collections
- Third party user participation statistics e.g. Sport England
- Income generation targets.

2.8 INPUTS

The net cost to the Council of providing the services within the Community Services Division is as follows:

	Net cost	Gross budget
Culture – Arts, Museums & Events	£531,000	£1,230,000
Culture – Libraries & community	£1,359,000	£1,423,000
Sport & Rec – facilities & sport & physical activity	£839,000	£1,673,000
Sport & recreation – Carlton OEC	£68,000	£494,000
Sport & Rec – Summerhill LNR & OAC	£100,000	£130,000
Archaeology	£23,000	£145,000
Adult Education	£ 0	£1,317,000
TOTAL	£2,920,000	£6,412,000

2.9 OUTPUTS

A brief overview of service outputs for Hartlepool is impressive:

Visitor attractions	Hartlepool Art Gallery Annual Visitors (2011/12)	63,361
	Town Hall Theatre Annual Visitors (2011/12)	59,091

	Museum of Hartlepool Annual Visitors (2011/12)	101,999
	Hartlepool Maritime Experience Annual Visitors (2011/12)	47,163
Libraries	Annual visits 2011/12	447,260
	Books loans 2011/12	369,679
	Number of people supported by the Home Library Service 2011/12	618
	Use of the Peoples Network computers [hours per annum]	41,008

Visitor Survey analysis for Headland, MHLC and Brierton

550 customers surveyed by independent researchers

92% customers either very satisfied or satisfied

85% customers feel what they get is good value for money

Leisure Centre attendances – 2011/12 375,077

Carlton OEC - 93% respondents felt centre was offering a service at either above or in excess of expectations (Sept 2010 to Sept 2011)

2011/12 GP Referrals – 1087 people

2.10 OUTCOMES

Outcomes are always more difficult to quantify, particularly in the short term, however the services provided contribute greatly to the health & wellbeing agenda, living longer and better physical and mental health, adult literacy and mature student qualifications via Adult Education, and generally a contribution to the quality of life. Libraries directly input into improving literacy levels and enabling people to reach their full potential through the delivery of its early years literacy programmes, services to schools and successful engagement with adults seeking informal learning opportunities.

The library provides a safe, non-judgemental and welcoming community space where people can meet or engage with others.

2.11 SAVINGS TARGET

The savings target for the Child & Adult services department is £2,580,000 for the financial year 2013/14. The specific target allocated to Community Services is £205,000 which reflects the size of the net budget of Community Services.

3.0 PROPOSALS

- 3.1 **Culture & Information – Libraries** – the proposals include the retention of appropriate non pay budgets at 2012/13 levels and the re-organisation of staffing at tier 5 level to reduce by two posts, both of which are currently vacant following staff departures. The service impact should not be noticeable to the general service user and whilst certain services may take longer to achieve, the whole service delivery function is undergoing constant change and improved efficiency and re-thinking service functions is a constant.
£31,000
- 3.2 **Culture & Information – Arts, Museums & Events** – the proposals include the retention of appropriate non pay budgets at 2012/13 levels, the inclusion of a new income area based on a successful outcome of utilising the HME car park for regular hire events and a regular car boot sale is currently within the planning process. It is considered that this or potential alternative income streams are sufficiently robust to include. Income targets for admissions etc across the Cultural Services area are proposed to be limited to current levels due to challenges in securing paid admissions; this is a major marketing requirement for 2013/14 and does underline the vulnerability to maintaining service provision in areas which rely on significant income generation. The impact of the budget reductions will not overtly impact on the general service user, in fact the potential for more activity on site and event led promotion will hopefully seek to ensure busier cultural sites with additional income being generated.
£37,000
- 3.3 **Culture & Information – Maritime Festival** – whilst this is fully managed within the cultural events section, this is identified separately due to this saving proposal being selected and discussed by Scrutiny. The proposal is to cease the biannual maritime festival and save the annual budget of £35,000, however in place of a two yearly high profile but risk challenged 2 day event, the intention is to focus on delivery of current and additional self funding regular events. A full description and case has been submitted as part of the Scrutiny process. Will the loss be noticed? As this is a major event once every two years then Officers would suggest; not initially, however this is mitigated by the intention of enabling event staff to actually do more on a more regular basis and seek greater attendances at the events that run. The loss will also be mitigated by the opportunity for Council to consider future major events on a one off basis and provide support funding on a case by case basis.
£35,000
- 3.4 **Sport & Recreation – Facilities and Physical Activity** – the savings proposals within sport and recreation include a second year of budget reduction across non staff budgets through continued budget efficiencies, reassessing income generation and by the non inflationary increase of individual budget heads. This is helpful at securing substantial contributions

towards savings without significant impact on any one area of service delivery. This also includes a review of the management and staffing structure at Summerhill LNR & Outdoor Activity Centre to better reflect the opportunity that can be achieved at income generation and site management and appearance; with the potential for a subsequent removal of a post. It also includes a reduction in operational opening hours at the Headland Sports Centre on weekends when usage is extremely low.

The Primary School swimming programme is currently provided with a budget and marketed through the annual 'buy back' procedure. However, this causes many logistical problems for Mill House Leisure Centre due to a lack of knowledge of the pool reservation required for schools owing to late information of the actual buy back levels required. It is therefore intended to change the procedure and will drop out of the 'buy back' and market lesson provision directly to all schools and other organisations. This has been costed and it is estimated that a cost neutral position can be achieved for the programme without any increase on the offer made currently to schools. In 2014/15, it is envisaged that this should actually be able to be reduced. Ultimately this should be a more robust arrangement and there is greater potential to then offer main pool space to other groups including the public who are currently not able to make use of the Pool during term-time weekday mornings.

Will the budget proposals significantly impact? There will be an immediate awareness of the closure of the Headland Sports Centre on a weekend, but alternative facilities are available within the service and also in the private sector. Should demand improve then this could potentially be reversed in part and the facility will of course remain for major event hire on a demand basis. The Primary School Swimming programme and Summerhill will be more reactive to demand and developing needs and it should have a positive impact in terms of cost benefit.

£70,000

- 3.5 **Sport & Recreation – Carlton OEC** – Carlton has had its revenue position transformed over the last two years and we are still reaping the benefit of management structure changes within the first full (academic) year of implementation. Carlton has been selected by Scrutiny for investigation and the full presentation and reports have been submitted as part of that process.

It is important to highlight that the facilities at Carlton are not owned by Hartlepool BC and are only managed and operated by the Council by virtue of a lease arrangement with the Carlton Trustees. In other words, it is not an asset that could potentially generate a capital receipt for the Council.

Carlton has suffered from a number of funding challenges with the withdrawal of the three former Cleveland partners over the last three or four years. Whilst this left a series of significant budget gaps, these have been largely filled by seeking additional full market price residencies. This in turn has safeguarded the facility for all current users, including of course the

prime original participants – Hartlepool Primary Schools.

Working with the Carlton Trust members has been most helpful in securing their support and anticipated funding assistance by securing grants that local authorities are deemed ineligible to apply for. The current budget for Carlton by Hartlepool is £68,000pa, in recent years the Carlton budget has had to have significant short term additional support by the Council due to the withdrawal of partner local authorities and prior to the benefits of new management arrangements. This now gives confidence that we are able to reduce costs further. The current proposals include slightly reducing the Hartlepool primary school allocation to match recent demand and to maintain the Hartlepool subsidy differential, whilst introducing seasonal cost changes being the only area where individual school preference will impact. The changing basis of school funding and the direct allocation of pupil premium funds should safeguard against discrimination for any disadvantaged families. This is really in the gift of the individual primary schools and their policies in relation to the targeting of the pupil premium.

Following Scrutiny discussion, Officers will work on continued site efficiencies, a new pricing structure to reflect the seasonal aspects of peak and off-peak weeks and increased occupancy with the further development of new markets. Carlton operates in a free market business world and it is confidently anticipated the outlined savings can be made.

£32,000

4.0 OPTIONS ANALYSIS

- 4.1 The approach to the budget efficiency targets has been specifically to minimise loss of service and skilled staff and the outlined option seeks to achieve this.
- 4.2 The current service areas are broad ranging and have already been integrated into a smaller number of management units as part of previous years' efficiencies. The alternative to the options proposed is additional closure of front line services - these are either difficult to achieve without complete closure of a service area or a complete withdrawal of service areas from community locations.
- 4.3 The closure of two branch libraries and three community centres in 2011/12 was only achieved due to a professionally demonstrated series of alternatives and a careful withdrawal of service from areas which could be adequately served by the remaining branch network, now more in tune with a service for the size of the Borough.
- 4.4 Remaining services are largely represented by one service outlet – e.g. one community theatre (Town Hall Theatre), one art gallery, one Museum and associated visitor attraction which is regularly hailed as the jewel in the Tees Valley etc. Future ongoing service efficiencies will undoubtedly begin to bite into the remaining cultural fabric of the town.

- 4.5 Most other services earn significant revenue income, draw in considerable partnership funding or are supported by outside contract funding (adult education) or archaeology which saw the introduction of a 4 day week in May 2012 and is now demonstrating the ability to earn significant contract income to meet its annual running costs which partly mitigates the public subsidy required.
- 4.6 If the outlined efficiencies are not approved then the alternatives are very unpalatable indeed.

5.0 RISK IMPLICATIONS

- 5.1 There are a number of risks implicit in the delivery of any package of savings and it is important to recognise these as part of any decision making. A summary of the risks considered as part of the proposals has been identified below:
- Loss of regular school attendances at Carlton leading to shortfalls in income.
 - Lack of culture spending leading to shortfalls in anticipated service income targets.
 - High reputation and popularity of Community Services areas of service are damaged leading to non achievement of user targets.
 - Failure to fulfil contractual funding obligations causing damage to existing partnerships.
 - Reduced staff morale. This was hit with the service cuts in 2012/13 and will therefore not be raised by continued cuts in service and ongoing efficiencies. Staff will be fully consulted in redesigning of services to ensure that the service is delivered in an effective and efficient manner.
 - Loss of staff expertise. The efficiencies will seek to minimise loss of experience and skills wherever possible but staff resignations cannot be anticipated and may account for the greatest threat to loss of experience.

6.0 FINANCIAL CONSIDERATIONS

- 6.1 The Savings Programme 2013/14 is planned to deliver total savings of £3.8m towards the budget deficit for 2013/14. It has been highlighted in previous reports to Cabinet that failure to take savings identified as part of the Savings Programme will only mean the need to make alternative unplanned cuts and redundancies elsewhere in the Authority to balance next year's budget.

The proposals are confidently identified as being sustainable in approach and give opportunity to continue to minimise service costs whilst maintaining current core areas of service provision and minimise the loss of experienced staff.

The proposals deliver the following proposed savings:

Service	Proposed Savings
Element 1 Libraries	£31,000
Element 2 Arts, Events & Museums	£37,000
Element 3 Maritime Festival	£35,000
Element 4 Sport & Recreation	£70,000
Element 5 Carlton OEC	£32,000
Total Proposed Savings	£205,000

7.0 EQUALITY AND DIVERSITY CONSIDERATIONS

- 7.1 The potential impact of the budget proposals on the future of service provision and consideration of how this will affect service users and details of any alternative services users may be able to access (including services available from external providers are considered within the EIA (Equality impact Assessment)).

Impact Assessments have been undertaken and are attached as follows.

Appendix 1 – EIA for budget reductions relating to non scrutiny determined items.

Appendix 2 – Carlton OEC proposed reductions in budget.

Appendix 3 – Hartlepool Maritime Festival, budget removal.

8.0 STAFF CONSIDERATIONS

- 8.1 Consultation on the proposals has included full involvement of Human Resources colleagues for advice and impact. Consultation with staff Trade Unions regarding the recommendations will be undertaken and is planned as an integral element of the proposals.

9.0 ADULTS & COMMUNITY SCRUTINY FORUM COMMENTS

- 9.1 Reduce Subsidy to Carlton Outdoor Centre (£32k), Cease Biennial Maritime Festival (£35k).

In relation to the reduced subsidy to Carlton Outdoor Centre, the Forum strongly felt it could not support such a saving proposal, in particular without the results of the questionnaire to schools carried out by Community Services being available at the time of the meeting.

Members were particularly concerned about the impact of the reduced subsidy on the affordability for local schools to continue to support Carlton Outdoor Centre and the potential for pupils to miss out on the experience at a time when household budgets are becoming increasingly tighter. The Forum

recommended that this saving be reconsidered in twelve month's time and an alternative saving proposal be found.

In considering the proposal to cease the biennial maritime festival, Members reluctantly agreed to support the saving proposal, particularly with Community Services continuing to focus on smaller, more frequent activities such as Christmas Crackers and Spoo-Quay.

10 RECOMMENDATIONS

- 10.1 It is recommended that these proposals, as outlined, be approved as having the least impact on service delivery and the public who are the recipients of our service activities.

11 REASONS FOR RECOMMENDATIONS

- 11.1 The review forms part of the 2013/14 Savings Programme, as set out in the Medium Term Financial Strategy 2013/14 to 2016/17 report to Cabinet on 11th June 2012.

12 BACKGROUND PAPERS

There are no background papers to this report.

13 CONTACT OFFICER

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Department	Division	Section	Owner/Officer
Child and Adult Services	Community Services	Community Services	John Mennear
Function/ Service	<p><i>Culture and Information – Libraries</i> <i>Culture and Information – Museums, Arts & Events</i> <i>Sport and Recreation</i></p> <p>The impact assessment focuses on the proposed closure of the Headland Sports Hall at weekends. Impact assessments for the proposed ceasing of the Maritime Festival and changes to Carlton Outdoor Education Centre are attached.</p>		
Information Available	<p>The information we have about users of our services suggests that the section has been successful in attracting people to the services.</p> <p>Sport and recreation services provide activities to vulnerable adults including those with a learning and/or physical disability. For the quarter July to September 2012, there were 1,482 attendances at events such as the Sportability Club, Boccia, New Age Curling and the disability football league.</p> <p>We engage with our service users in a number of ways including:</p> <ul style="list-style-type: none"> • Satisfaction questionnaires • Annual returns to funding bodies • Activity evaluation and feedback forms • Standards achieved in relation to service • Quality achievement awards • Immediate customer feedback - complaints and compliments • Visitor/admission numbers • Scrutiny investigations • Third party user participation statistics, eg. Sport England • Income generation targets <p>Weekend attendances at Headland Sports Hall are low at an average of 45 people per day (including team activity). Attendance numbers and income are significantly less than during the week.</p> <p>We do not systematically collect demographic data on the people who use the centre. However, we do know that the centre is currently booked for disabled football every Saturday during term time until March 2013. On average 15 people attend these weekly sessions and the sessions were originally scheduled at the Headland to increase weekend participation and income. Brierton Sports Centre</p>		

	has been identified as an alternative location for these sessions.	
Relevance <i>Identify which strands are relevant to the area you are reviewing or changing</i>	Age	
	Disability	√
	Gender Re-assignment	
	Race	
	Religion	
	Gender	
	Sexual Orientation	
	Marriage & Civil Partnership	
	Pregnancy & Maternity	
Information Gaps	We do not systematically gather demographic data on people who attend venues, events or activities in community services unless specifically requested to do so by funders.	
What is the Impact	The main identifiable impact in terms of the proposed closure of Headland Sports Hall at weekends is on the group accessing disabled football. However, alternate arrangements are available for this group.	
Addressing the impact	<i>The outcome of the impact assessment may be one or more of the following four outcomes; You must clearly set out your justification for the outcome/s.</i>	
	1. No Impact- No Major Change - It is clear that there is no potential for discrimination or adverse impact on the above Protected Characteristics. All opportunities to promote Equality have been taken and no further analysis or action is required.	
	2. Adjust/Change Policy – You may have to make adjustments to address potential problems or missed opportunities that impact adversely on those with protected characteristics.	
	3. Adverse Impact but Continue – Your decision may be to continue without making changes, this may be the right outcome even if your assessment identifies the potential for adverse impact. (E.g. Cabinet decision to withdraw a service).	
	4. Stop/Remove Policy/Proposal – Your assessment reveals unlawful discrimination it must be stopped and removed or changed.	
Actions		

It will be useful to record and monitor any actions resulting from your assessment to ensure that they have had the intended effect and that the outcomes have been achieved.

Action identified	Responsible Officer	By When	How will this be evaluated?
Consult with disabled football group to assess suitability of alternate venue	Ian Gray	March 2013	Football group continue to meet.
Collect data on characteristics of people accessing the centre at weekends.	Ian Gray	December 2013	Better understanding of any additional support needed for people being able to access alternate venues.
Consultation with weekend users of Headland Sports Hall	Ian Gray	December 2013	People are able to access alternate venues.

Date sent to Equality Rep for publishing	00/00/00
Date Published	00/00/00
Date Assessment Carried out	00/00/00

Department	Division	Section	Owner/Officer
Child & Adult	Community Services	Culture & Information	John Mennear – Assistant Director (Community Services)
Function/Service	Hartlepool's bi-annual Maritime Festival – removal of the budget and to cease the event.		
Information Available	<p>The numbers attending the maritime festival vary considerably and are significantly dependant on the weather. Questionnaires are distributed to attendees and comments on social media and in visitors books are reviewed.</p> <p>From analysis of 149 completed questionnaires from the Diamond Festival (2012), the majority of completed questionnaires were by women (62%) and 54% were aged 44 or under. This was a snapshot of attendance and with evidence from staff who run the events indicating that attendance at the festivals tend to be from a good mix of the town's population, we cannot say how representative or generally applicable to all free events this finding is. For example, the evaluation of the Tall Ships Races 2010 in contradiction, found that just under two thirds of visitors were aged over 45 years.</p>		
Relevance	Age		√
Identify which strands are relevant to the area you are reviewing or changing	Disability		√
	Gender Re-assignment		
	Race		
	Religion		
	Gender		
	Sexual Orientation		
	Marriage & Civil Partnership		
	Pregnancy & Maternity		
Information Gaps	We do not systematically gather demographic data on people who attend free events organised by the section. Where we do have data, it is just a snapshot of attendees and so not necessarily representative of attendees. It would be difficult and resource intense to try and collect more meaningful data due to potential number of visitors and the fact that they come along to an event for entertainment and are less likely to want to take part in surveys.		
What is the Impact	1. No Impact- No Major Change - It is clear that there is no potential for discrimination or adverse impact on the above Protected Characteristics. All opportunities to promote Equality have been taken and no further analysis or action is required.		

	<p><i>As noted, anecdotally we believe that attendees at the Maritime Festivals have tended to be mixed and representative of the town's population. As such we do not anticipate that no longer delivering a free Maritime Festival will have a disproportionate impact on any of the protected characteristics of the Equality Act.</i></p> <p><i>However, it is possible that the organising and holding of such free events might encourage people from socio economic groups who don't normally attend cultural activities to participate. Removing such opportunities might impact on those groups decisions to access cultural services in the future.</i></p>		
Addressing the impact	<p><i>The Council will continue to provide a series of low cost events as part of their annual programme. Currently, due to sponsorship, the annual firework display is still free to visitors and ongoing sponsorship will be sought. Low cost event include Spooquay; Christmas Crackers; and Pirate Day.</i></p> <p><i>As part of the Cultural Services draft business development plan, we will explore the active promotion of HME car park to other organisations wanting to stage events.</i></p> <p><i>The events team are working more closely with other HBC teams such as sport & recreation, youth services, and health services, along with external organisations such as the Headland Carnival Committee and Red Dreams to jointly organise and provide support to run and expand existing events for local people. The events staff will continue to provide advice and guidance to those wishing to execute their own events, this includes representation to the Independent Safety Advisory Group (ISAG) group.</i></p> <p><i>Whilst removing a bi-annual event from the programme may have an effect on the Cultural life of the town it will not disproportionately affect any single group in the society. The fact that the Culture & Information Service still offers a mixture of free and paid events will mitigate the loss of the Maritime Festival.</i></p>		
Actions			
<i>It will be useful to record and monitor any actions resulting from your assessment to ensure that they have had the intended effect and that the outcomes have been achieved.</i>			
Action identified	Responsible Officer	By When	How will this be evaluated?
Surveys at other events such as Spookquay, Christmas Crackers	David Worthington	October & December 2012	Face-to-face surveys with people attending events.

Date sent to Equality Rep for publishing	00/00/00
Date Published	00/00/00
Date Assessment Carried out	00/00/00

Department	Division	Section	Owner/Officer																											
Child & Adult	Community Services	Sport & Recreation	John Mennear – Assistant Director (Community Services)																											
Function/Service	Carlton Outdoor Education Centre – reduction of Council budget that supports the use of the Centre																													
Information Available	<p>Carlton Outdoor Education Centre delivers residential outdoor activities to primary school children and other groups. A subsidy is provided by the Council which allows Hartlepool primary schools to access the centre at a reduced rate. During 2011/12, 15 out of 30 Hartlepool primary schools used Carlton at the reduced rate.</p> <p>We do not believe that the subsidised rate impacts on the rate that is charged by the school to parents but this needs to be investigated further.</p> <p>Evidence suggests that when the subsidy is removed completely, the numbers of schools accessing the service will reduce. The retention of a subsidised or discounted price is critical to Hartlepool school retention. Despite the previous removal of subsidy, schools from Stockton, Middlesbrough and Redcar do continue to access Carlton Outdoor Education Centre to varying degrees.</p> <p>In addition, the centre now delivers activities to a wide range of age groups including adults and clients with disabilities.</p> <p>Feedback from user evaluation is very positive with 93% of users advising that they felt the service offered was either above or exceeded standard expectations.</p>																													
Relevance	<table><tr><td>Age</td><td>X</td><td></td></tr><tr><td>Disability</td><td></td><td></td></tr><tr><td>Gender Re-assignment</td><td></td><td></td></tr><tr><td>Race</td><td></td><td></td></tr><tr><td>Religion</td><td></td><td></td></tr><tr><td>Gender</td><td></td><td></td></tr><tr><td>Sexual Orientation</td><td></td><td></td></tr><tr><td>Marriage & Civil Partnership</td><td></td><td></td></tr><tr><td>Pregnancy & Maternity</td><td></td><td></td></tr></table>			Age	X		Disability			Gender Re-assignment			Race			Religion			Gender			Sexual Orientation			Marriage & Civil Partnership			Pregnancy & Maternity		
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Marriage & Civil Partnership																														
Pregnancy & Maternity																														
Information Gaps	Whether any local authorities continue to subsidise schools for educational use of outdoor centres since the introduction of the Pupil Premium. Telephone survey to be conducted to elicit																													

	<p>information.</p> <p>We do not know exactly what impact reducing the subsidy would have on the numbers of Hartlepool schools who access the service. Whilst evidence from the other local authorities suggests that the impact would be minimal, further information would be needed to be obtained from operational experience.</p> <p>A reduction in the subsidy rate would potentially have an impact on individuals/families – if schools decide to increase the cost to families, the impact could be unfairly felt by low income families. Whilst not a protected characteristic, it is flagged up as schools currently have different approaches to parental contributions. Schools are in receipt of the Pupil Premium and it is with them to determine how that funding is to be used.</p>
What is the Impact	<p>We do not anticipate that the proposed reduction of base budget would have any impact in terms of increasing inequality in access to the service. However, if the school decided to increase cost to families to adjust for the lack of subsidy, this might have a negative impact on poorer families.</p> <p>It is possible that because of our intention to standardise pricing and introduce peak/off-peak rates, wider access to the centre will be improved so providing more opportunities to more people.</p> <p>There may be a risk of Hartlepool Primary schools no longer making use of Carlton but experience has shown that where subsidised use has already been withdrawn by previous partner local authorities, some of their schools have continued to attend at a non-subsidised price.</p>
Addressing the impact	<p>The outcome of the impact assessment may be one or more of the following four outcomes; You must clearly set out your justification for the outcome/s.</p> <p>1. No Impact- No Major Change - It is clear that there is no potential for discrimination or adverse impact on the above Protected Characteristics. All opportunities to promote Equality have been taken and no further analysis or action is required.</p> <p>We do not believe that the proposal targets or excludes a specific equality group or community. Potentially, the proposal will create more opportunities for wider access to Carlton Outdoor Education Centre so foster good relations between different groups.</p> <p>2. Adjust/Change Policy – You may have to make adjustments to address potential problems or missed opportunities that impact adversely on those with protected characteristics.</p> <p>3. Adverse Impact but Continue – Your decision may be to continue without making changes, this may be the right outcome even if your assessment identifies the potential for adverse impact. (E.g. Cabinet decision to withdraw a service).</p> <p>4. Stop/Remove Policy/Proposal – Your assessment reveals unlawful discrimination it must be stopped and removed or</p>

changed.			
Actions			
<i>It will be useful to record and monitor any actions resulting from your assessment to ensure that they have had the intended effect and that the outcomes have been achieved.</i>			
Action identified	Responsible Officer	By When	How will this be evaluated?
Survey other local authorities re subsidised use	Pat Usher	October 31 st 2012	Telephone survey
Survey HBC schools to ascertain whether they will continue to promote and value Outdoor Education opportunities	Pat Usher	October 31 st 2012	Paper questionnaire
Survey HBC schools to seek their current approach to parental contributions to OE opportunities.	Pat Usher	October 31 st 2012	Paper questionnaire
Monitor use of the site by groups/individuals other than schools.	Pat Usher	July 2014	Visitor figures
Monitor impact of decision.	Pat Usher	July 2014	Visitor figures

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Date Assessment Carried out	00/00/00

Report of: Head of Planning and Development

Date: 17 December 2012

Subject: SAVINGS PROGRAMME 2013/14 – HOME TO SCHOOL TRANSPORT

1 PURPOSE OF REPORT

- 1.1 The purpose of this report is to identify proposals for the delivery of savings in respect of Home to School Transport as part of the budget for 2013/2014.

2 BACKGROUND

- 2.1 The report details one of the reviews which forms part of the 2013/2014 Savings Programme.

- 2.2 The proposals in the report identify the savings to be made, the risks associated with these and the considerations which have been taken into account in developing them including consideration of key elements which together comprise SROI.

- 2.3 The services under consideration in this report are as follows,

2.4 Home to School Transport –

The Services provides transport related support to pupils who are eligible to free transport from Home to School.

- 2.5 **Service Users** – The range of services covered by this report are Primary and Secondary mainstream pupils, Primary and Secondary Special pupils in mainstream settings and Special School pupils.

- 2.6 **Engagement** – Service users provide feedback in a number of different ways and this is determined by the type of service, target group and arrangements to do with the type of delivery. Examples include:

- The Transport Champion Group is made up of neighbourhood, diverse operators and young people's representatives. The aim of the group is to consult on all transport related matters, in an effort to improve the transport opportunities to the community as a whole.
- The Special Educational Needs Transport Panel is made up special needs, transport and education specialists. The aim of the group is to

evaluate the current transport provision, in order to ensure all aspects of travel meet the individual needs of the pupils

- Individual surveys and consultation exercises are used predominantly during any proposed alteration to the service provided

2.7 Inputs

The net cost to the Council of providing the services within the Home to School Transport area is as follows:

	Net Cost	Gross Budget
Primary (mainstream)	£33,171	£33,171
Secondary (mainstream)	£360,447	£445,381
Special in Primary	£57,720	£57,720
Special in Secondary	£101,772	£101,772
Special	£803,549	£830,158
<u>TOTAL</u>	£1,356,659	£1,468,202

2.8 Outputs

A brief overview of service inputs is as follows:

	Pupil numbers
Primary mainstream	54
Secondary mainstream	461
SEN	327
Primary concessionary	6
Secondary concessionary	49

2.9 Outcomes

The Council has a responsibility to make arrangements for all eligible children to travel to school in reasonable safety and comfort and arrive there without stress or difficulty so that they can benefit from their education. The Home to School transport arrangements provides an efficient and cost effective solution to that duty.

2.10 Savings target

The savings target for the Child and Adult Services Department for the financial year 2013/2014 is £2,580,000 with the Home to School Transport budget within the Resources and Support Services Division having to achieve £100,000 of this figure.

3 SAVINGS PROPOSALS

- 3.1 Tenders – following a review of current Home to School Transport provision, the Passenger Transport Service identified a number of contracts relating to Taxi and Private Car Hire and relevant PSV routes which expired in July 2012. It was therefore necessary to undergo a tender process in order to secure new contracts. Tenders unless otherwise disclosed, were invited for a three year period with a further option to extend for a further two years. All new contracts were awarded by September 2012.

£30,000

- 3.2 Yellow Bus Review – The Integrated Transport Unit additionally took the opportunity to bring in-house three routes currently operated by external providers in order to support a further efficiency. The service is extremely popular and has been developed in order to accommodate, extended school activities, swimming programmes and other curriculum activities. Each school has been allocated a Transport Officer in order to manage the provision. The service is a cost effective provision for schools and the Council.

£28,000

- 3.3 All Route Review – A further in year review of all routes took place providing for further efficiencies. The review takes place on a 6 monthly basis in order to accommodate changes to particular routes. The review is a fundamental strategy for the Integrated Transport Unit in administering cost effective service delivery. The review is carried out in consideration of the Special Educational Needs Transport Panel in order to support the progress of young people who have special educational needs

£42,000

4. OPTIONS ANALYSIS

- 4.1 Following a review of current Home to School Transport provision, the Passenger Transport Service identified a number of contracts relating to Taxi and Private Car Hire and appropriate PSV Routes which expired in July 2012. It has been therefore necessary to undergo a tender process in order to

secure new contracts. The outcome resulted in an efficiency of 30k. The Council followed an E Auction process which encourage good competition with all participating operators

5. RISK IMPLICATIONS

5.1 There are a number of risks implicit in the delivery of any package of savings and it is important to recognise these as part of any decision making. A summary of the risks considered as part of the proposals has been identified below:

- Increased pressure to achieve cost reductions leading to less flexibility in use of transport resources
- Reduced opportunity to invest in additional fleet (yellow buses) in order to expand services
- Departmental budgeting structure demonstrates that the Integrated Transport Unit supports budget efficiencies for both Regeneration and Neighbourhood Services and Child and Adult Services

6. FINANCIAL CONSIDERATIONS

6.1 The Savings Programme 2013/2014 is planned to deliver total savings of £3.8m towards the budget deficit for 2013/2014. It has been highlighted in previous reports to Cabinet that failure to take savings identified as part of the Savings Programme will only mean the need to make alternative unplanned cuts and redundancies elsewhere in the Authority to balance next year's budget.

The proposals deliver the following proposed savings:

Service	Proposed Savings
Tenders	£30,000
Yellow Bus Review	£28,000
All route review	£42,000
Total Proposed Savings	£ 100,000

7. EQUALITY AND DIVERSITY CONSIDERATIONS

7.1 There are no equality or diversity implications resulting from these proposals as the service has not been reduced and continues to provide transport to all eligible pupils.

8 STAFF CONSIDERATIONS

- 8.1 There are no staffing implications arising from the proposals.

9 FEEDBACK FROM THE TRANSPORT WORKING GROUP

- 9.1 The Working Group has expressed its support for the implementation of these savings proposals and requested that these views be included in the report to be considered by Cabinet.

10 COMMENTS FROM SCRUTINY REVIEW

- 10.1 Members supported all the savings proposals presented to the Children's Services Scrutiny Forum and recognised that the areas identified would have the least impact on front line services and staffing.

11 RECOMMENDATIONS

- 11.1 It is recommended to proceed with the proposals as outlined above.

12. REASONS FOR RECOMMENDATIONS

- 12.1 The review forms part of the 2012/2013 Savings Programme as set out in the Medium Term Financial Strategy 2013/2014 to 2016/2017 to Cabinet on 11th June 2012.

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

- 13.1 There are no appendices to this report.

14. BACKGROUND PAPERS

- 14.1 There are no background papers with this report.

15. CONTACT OFFICER

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Report of: Assistant Director Performance & Achievement

Subject: SAVINGS PROGRAMME 2013/14 - PERFORMANCE
& ACHIEVEMENT DIVISION OF CHILD AND ADULT
SERVICES DEPARTMENT

1.0 PURPOSE OF REPORT

- 1.1 The purpose of the report is to identify the proposals for delivering savings in respect of the Performance & Achievement Service as part of the budget for 2013/14.

2.0 BACKGROUND

- 2.1 The report details one of the reviews which forms part of the 2013/14 Savings Programme.
- 2.2 The proposals in the report identify the savings to be made, the risks associated with these and the considerations which have been taken into account in developing them including consideration of key elements which together comprise SROI.
- 2.3 The aim of the Performance and Achievement Division is to fulfill the statutory responsibilities of the Local Authority in relation to its educational provision and to provide a range of advice and support services to schools and educational establishments that enable those organisations to function more effectively. A small School Improvement and Advice Team has been retained within the Performance and Achievement Division. This team is funded from three sources: (1) earned-income via a Service Level Agreement with schools (2) additional income from OFSTED inspections, conferences and out-of-borough school support (3) Council funding. The School Improvement Team works, on request, with all the schools in Hartlepool and a growing number of schools in other boroughs. The service is highly regarded in Hartlepool, particularly for its support of literacy, numeracy and Early Years issues, and has a growing reputation in Darlington and South Tyneside.
- 2.4 The impact of this service can be best described through a number of qualitative and quantitative measures:
- No school in Hartlepool has been judged by OFSTED to be 'failing' for a number of years. In addition, 79% of Hartlepool's educational establishments have been judged to be 'Good' or 'Outstanding' by OFSTED, which places Hartlepool 25th nationally in the HMCI rankings.

- Primary school achievement, as measured by Key Stage 2 SAT results, are above the national average and at their highest in the last seven years.
- The number of pupils achieving five A*-C GCSE (including maths and English) has been on an upward trend for five years.

2.5 A savings target of £100,000 has been identified for 2013-14.

3.0 PROPOSALS

3.1 It is proposed that:

1. The School Improvement and Advice budget will be reduced by £73,381 from £161,399 to £88,018 to reflect revised operational and funding arrangements.
2. The Children's Services Specific Support which has a budget of £42,471 will be reduced by £26,619 to £15,852, again to reflect revised operational and funding arrangements.
3. The Performance and Achievement budget will therefore be reduced by £100,000 in 2013-14.
4. Furthermore, additional income will be generated in a number of ways, including:
 - Increasing in the number of OFSTED inspections to be carried out by the School Improvement Team.
 - Marketing the 2013-14 School Improvement Service SLA to schools outside of Hartlepool.
 - Increasing the charge made to schools for the 2013-2014 School Improvement Service SLA
 - Bringing more of the School Improvement Partner work in-house to avoid payment to external suppliers.
 - Arranging regular conferences where a charge will be made to participants.

4.0 OPTIONS ANALYSIS

In order to prevent any further reduction in the staffing size of the Performance and Achievement team, which has been reduced drastically over the last three years, and to capitalize on the income-generating ability of the School Improvement and Advice service, this was the only option that was considered in detail and that was felt to be achievable without a detrimental impact upon schools in Hartlepool.

5.0 RISK IMPLICATIONS

5.1 It needs to be recognised that the savings proposed represent very little risk in terms of detrimental impact upon the service offered in 2013-2014. In

subsequent years, however, a number of risks need to be borne in mind to ensure that schools are fully supported:

- Not achieving the income generation target; a business plan will be devised that sets out how the income will be generated over the course of 2013-2014 and 2014-2015 for each of the potential funding streams.
- A negative impact upon Hartlepool schools due to officers working in schools in Darlington and Redcar & Cleveland as part of the collaboration
- Maintaining the capacity of the School Improvement and Advice team; additional capacity has been built into the team through the appointment of a Senior School Improvement Officer (vacant since January 2012) and an affordable increase in the full-time equivalence of the two part-time literacy and numeracy consultants.
- The reputation of the council should any school be judged to be 'inadequate' by OFSTED.
- A further risk to consider is the financial implications of schools converting to academies. Both the Local Authorities Dedicated Schools Grant (DSG) which provides funding for areas such as FSM eligibility, Trade Union support, Ethnic Minority, Licences and Behaviour Support Services (ie. Ed Psych, School Attendance, Exclusions). and the Local Authority Central Spend Equivalent Grant (LACSEG) which is funding that the Council currently receives as part of its overall funding settlement (separate to DSG) to fund statutory Education services will be reduced according to the number of schools that convert.

6.0 FINANCIAL CONSIDERATIONS

- 6.1 The Savings Programme 2013/14 is planned to deliver total savings of 3.8m towards the budget deficit for 2013/14. It has been highlighted in previous reports to Cabinet that failure to take savings identified as part of the Savings Programme will only mean the need to make alternative unplanned cuts and redundancies elsewhere in the Authority to balance next year's budget.

The proposals contained in this report deliver the following proposed savings:-

Service	Proposed Savings
Performance & Achievement	£100,000
Total Proposed Savings	£100,000

There will be no additional costs to the Council of this savings plan.

7.0 EQUALITY AND DIVERSITY CONSIDERATIONS

- 7.1 See the attached Equality and Diversity Impact Assessment Statement

8.0 STAFF CONSIDERATIONS

- 8.1 All staff have been consulted on this proposal and are supportive of the action being taken. There are no redundancy implications contained within this proposal.

9.0 RECOMMENDATIONS

- 9.1 It is recommended that the proposals set out in this paper be accepted as the Performance and Achievement Division's contribution to the 2013/14 Savings Programme.

10.0 REASONS FOR RECOMMENDATIONS

- 10.1 The review forms part of the 2013/14 Savings Programme, as set out in the Medium Term Financial Strategy 2013/14 to 2016/17 report to Cabinet on 11th June 2012.

11 CONTACT OFFICER

Dean Jackson

Assistant Director (Performance & Achievement)

Department	Division	Section	Owner/Officer
Child and Adult Services	Performance & Achievement	School Improvement, Advice & Support	Dean Jackson
Function/Service	School Improvement, Support and Advice section of Performance and Achievement Division of Child and Adult Services		
Information Available	<p>The proposed reduction in the budget for School Improvement, Advice and Support in 2013-14 will not result in any reduction in the service currently being offered to schools but it removes any additional capacity that the School Improvement Service has to react to unexpected changes in a school's circumstances, such as pupil achievement, leadership and management, the quality of teaching or behaviour and safeguarding. Schools have indicated, however, through the Schools' Forum, that should any 'unexpected change' occur in a school that necessitated high levels of additional support, they would provide additional financial resource for the School Improvement Service.</p> <p>The provisions in Part 4 of the Education and Inspections Act 2006, as updated by 2012 Advice to Local Authorities, relating to schools causing concern places a responsibility upon a Local Authority to identify any of its schools that are causing concern and to act accordingly to bring about improvement in order to "... ensure that every pupil is provided with the education and opportunities they deserve".</p> <p>Hartlepool Local Authority has clear strategies and procedures in place for:</p> <ul style="list-style-type: none"> (a) identifying a school judged to be temporarily vulnerable or, over time, causing concern; (b) supporting and challenging the school to bring about improvement; (c) monitoring the school's self-evaluation of its improvement. <p>A school causing concern is likely to one where, over time, standards are unacceptably low and are likely to remain so, there has been a serious breakdown in the way the school is managed or governed which is prejudicing standards of performance or the safety of staff or pupils is threatened. The overriding priority of the School Improvement Service is to support the school to provide the best possible environment to help all children and young people maximize their potential and make the progress they deserve.</p>		

Relevance		Age		✓
<i>Identify which strands are relevant to the area you are reviewing or changing</i>		Disability		
		Gender Re-assignment		
		Race		
		Religion		
		Gender		
		Sexual Orientation		
		Marriage & Civil Partnership		
		Pregnancy & Maternity		
		Information Gaps		The impact on the School Improvement Service of schools becoming academies.
What is the Impact		Eliminate Unlawful discrimination , harassment, victimisation, and any other conduct prohibited by the act N/A Advance Equality of Opportunity , between people who share protected characteristics and those who don't N/A Foster Good Relations , between people who share a protected characteristic and people who do not share it. N/A		
Addressing the impact		1. No Impact- No Major Change: The policy is robust and there is no potential for discrimination or adverse impact. All opportunities to promote equality have been taken. 2. Adjust/Change Policy: N/A 3. Adverse Impact but Continue: N/A 4. Stop/Remove Policy/Proposal: N/A		
Actions				
<i>It will be useful to record and monitor any actions resulting from your assessment to ensure that they have had the intended effect and that the outcomes have been achieved.</i>				
Action identified	Responsible Officer	By When	How will this be evaluated?	
Monitor the ongoing quality of the support provided to schools by the School Improvement Service	Mark Patton, Senior School Improvement Officer	31 st August, 2013	1. Evaluation questionnaires completed by schools 2. Discussion with Headteachers	

Monitor the impact of schools becoming academies on the School Improvement Service	Dean Jackson	31 st August, 2013	1. Monitoring Service Level Agreement buy-back 2. Monitoring number and nature of requests for support received from Academies.
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Date sent to Equality Rep for publishing	00/00/00
Date Published	00/00/00
Date Assessment Carried out	00/00/00

Report of: Sally Robinson

Subject: SAVINGS PROGRAMME 2013/14 – PREVENTION, SAFEGUARDING AND SPECIALIST SERVICES

1.0 PURPOSE OF REPORT

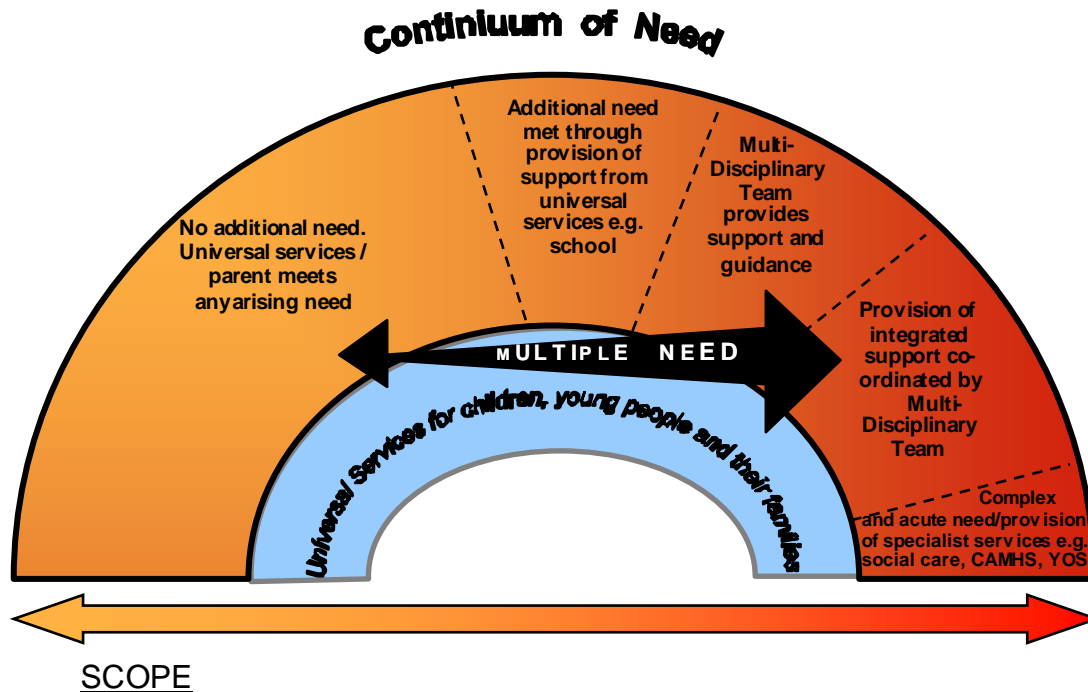
- 1.1 The purpose of the report is to identify the proposals for delivering savings in respect of the Prevention, Safeguarding and Specialist Services division of Child and Adult Services as part of the budget for 2013/14.

2.0 BACKGROUND

- 2.1 The report details one of the reviews which forms part of the 2013/14 Savings Programme
- 2.2 The proposals in the report identify the savings to be made, the risks associated with these and the considerations which have been taken into account in developing them including consideration of key elements which together comprise SROI.
- 2.3 The Prevention, Safeguarding and Specialist Services division of Child and Adult Services has a range of statutory and non statutory responsibilities. It is responsible for the delivery of:
- Social care services for children in accordance with the Children Act 1989;
 - The Youth Offending Service in accordance with the Crime and Disorder Act 1998;
 - Early intervention services for children, young people and their families including the provision of children's centres and the families information service;
 - Integrated Youth Support Service including the provision of youth centres and services for young people not in education, employment or training;
 - Strategic commissioning for children.

AIM

- 2.4 The division is structured to provide support services to children, young people and their families across the continuum of need as illustrated below. The aim of this is to ensure that families receive the right services at the right time and where a child is identified as having needs that cannot be met through universal services alone, a range of responsive tailored services are available to the child and his/her family to prevent need from escalating and becoming more acute. Prevention, Safeguarding and Specialist Services support children and their families throughout Hartlepool.



2.5 The following areas of service are within the scope of this proposal:

- Social work services for children in need (including those in need of protection;
- Youth Offending Service;
- Early intervention information hub, locality teams and resource team;
- Services for looked after children including provision of residential and foster care, services for care leavers and the adoption service;
- Integrated Youth Support Service;
- Review and development unit and Independent Reviewing Officer service;
- Commissioned services for children.

SERVICE USERS

2.6 Prevention, Safeguarding and Specialist Services provide services to children and young people between the ages of 0 – 18. For some specific groups, for example young people with disabilities and those leaving care, services are extended beyond childhood up to the age of 25. In responding to the needs of children and young people, the service works with the child's parents, carers and significant others to ensure that family members have their needs met wherever possible to enable them to provide safe and effective care for their children and promote their wellbeing.

ENGAGEMENT

2.7 The service undertakes regular engagement activity with service users across the breadth of the service and within each service area. The service has a Participation Strategy which outlines how children, young people and their

families are engaged in shaping and influencing the delivery of services they receive individually as well as the wider development of policy and services provided by the division. Earlier in 2012, the Integrated Youth Support Service was awarded the Gold 'Hear by Right' Award in recognition of the work of the service in putting young people's voices at the heart of service delivery and development.

- 2.8 There are a number of engagement and consultation groups which inform the development of services, these include amongst others, the Children in Care Council, Friends of Exmoor Grove, One Hart, One Mind One Future, (parents Forum), Young Inspectors and Children's Centre Forums. Feedback from services users is also sought through satisfaction surveys which are sent out at the point of case closure for all social care cases, comments, compliments and complaints received and focus groups to consult on particular proposals or developments.
- 2.9 The information received through these mediums informs the remodeling, and development of services and the policies and procedures that detail how services are to be provided. For example during 2011/12, the Early Intervention Strategy was developed which reshaped how these services are delivered in Hartlepool. As part of the development of the strategy, a series of consultation sessions were completed with groups of children, young people, parents and carers, staff and partner agencies. The information from these sessions was collated into emerging themes and informed the development of the strategy.

INPUTS

- 2.10 The total expenditure for Children's Services (excluding the Dedicated Schools Grant) is £23.9m.

The breakdown of how the £23.9m is spent is as follows:

Area of Expenditure	Spend
Prevention Safeguarding and Specialist Services	£20.8m
Education (excluding DSG)	£0.8m
Resources and Support Services	£2.3m

- 2.11 A breakdown of expenditure in the Prevention, Safeguarding and Specialist Services is as follows:

Area of Expenditure	Spend
Children's Social Care	£11.5m
Early Intervention Services	£7.5m
Youth Offending Service	£0.5m
Youth Service	£0.4m
Management and Support	£0.9m

OUTPUTS/OUTCOMES

- 2.12 Children's Services deliver services to children, young people and their families to enhance their quality of life and achieve key outcomes in terms of safety, health, education, wellbeing and supporting successful transitions to adulthood. Services are provided across the universal, targeted and specialist services continuum.
- 2.13 The Prevention, Safeguarding and Specialist Services Division provides service to children in Hartlepool in accordance with their needs and include the delivery of universal, targeted and specialist services. Children's social care is responsible for ensuring that children are protected from harm, receive services to meet any assessed needs they may have and their welfare is promoted to achieve improved outcomes. For children who are looked after and leaving care, the service fulfils a statutory and corporate parent responsibility providing children with appropriate care placements to meet their needs, promoting their education, health and social and emotional wellbeing and supporting young people into independence. Children's social care services are regulated via various inspections undertaken by Ofsted. The current judgments of regulated services are as follows:
- Announced Inspection of Safeguarding and Services for Looked After Children – GOOD (June 2010);
 - Adoption Service – SATISFACTORY (May 2011);
 - Fostering Service – GOOD (July 2012);
 - Residential Care Exmoor Grove – GOOD (September 2012).
- 2.14 Performance of the service is monitored via statutory returns to the Department for Education on an annual basis. The service performs well with the majority of indicators achieving or exceeding their target and when compared with the national average and regional and statistical neighbours.
- 2.15 The Youth Offending Services provides both prevention and statutory services in line with legislation to work with young people to prevent offending and re-offending and promote community safety. This service was re-inspected in January 2011 and judged as performing in accordance with the national average scores for Youth Offending Services nationally. This was a significant improvement on the previous inspection outcome when scores were below average. Performance of the Youth Offending Service is monitored by the Strategic Management Board on a quarterly basis. Good performance has been noted in the significant reduction of first time entrants to the criminal justice system and the low use of remand and custodial sentences. The service is currently focusing its efforts on reducing the re-offending rates of young people.
- 2.16 For vulnerable children, under the Early Intervention Strategy, the service provides information, support and guidance to universal services and families to support children's needs. Where these needs require a targeted response, the service provides and commissions a range of integrated support services on a locality basis across the 0 – 19 age range. These services provide

tailored packages of support to children and their families to meet assessed needs at the earliest point of these emerging and prevent need from increasing to where more specialist services are required. The early intervention strategy is in its first year of delivery and its effectiveness is yet to be fully evaluated. However, to date feedback from children, young people, their families and professionals has been positive and the recent peer review of safeguarding identified the strategy and service delivery model as a strength. A performance management framework has been developed to measure the effectiveness of the strategy and a report will be presented to Cabinet in June 2013 detailing a full year one review of the service.

SAVINGS TARGETS

- 2.17 The savings target identified for the Prevention, Safeguarding and Specialist Services division of Child and Adult Services is £475,000.

3.0 PROPOSALS

CHILDREN'S SOCIAL CARE

- 3.1 Children's social care is made up of a number of budgets which provide for the delivery of social work teams, services for children and families and services commissioned from the voluntary, community and independent sector. The majority of the social care budget is allocated for the provision of placements for looked after children. A high proportion of these placements are delivered by the Council's foster care service; however a minority, around 24%, is provided by the independent fostering and residential sector. These placements are high cost and a substantial amount of work is undertaken within the division to manage demand for these placements and ensure the service achieves value for money from providers. During the 2011/12 budget savings review, a significant amount of the savings realised from the division was identified from within commissioned services.
- 3.2 The proposals for 2013/14 include a contribution of £133,000 from children's social care. The largest proportion of this (£60,000) has been identified by the removal of the Care Matters budget for children looked after. In 2008/09, local authorities first received the Care Matter Grant via the Area Based Grant to provide additionality to services provided for looked after children. The grant was allocated for three years to be invested in projects designed to improve the outcomes of looked after children which research had shown were substantially below those of their peers who were not looked after. The grant was subsequently moved to the Revenue Support Grant in 2011/12. Since its introduction, the Care Matters grant has been used in Hartlepool to provide support and services for children looked after over and above the base budget and as a consequence its use has changed annually as there are no ongoing commitments against the budget. It has been used for, amongst other things, a residential holiday for children in care to Carlton, provision of individual support for children to promote their education and the

- refurbishment of Exmoor Grove and 9 Church Street to provide a high quality and comfortable environment for children.
- 3.3 In 2011/12 a reserve was created from the underspend of the Care Matters budget which is to be utilised to support the development of supported accommodation at Blakelock Gardens and the children's home at 302 Stockton Road. It is proposed that the Care Matters budget of £60,000 is removed from the divisional budget in 2013/14. In addition to this, it is proposed that an additional £10,000 of savings is realised from the budget allocated to improving outcomes for looked after children. This budget is used to promote opportunities for looked after children, for example to fund residential school trips, extra curricular activities for children in care such as dancing, music or horse riding lessons. The budget also supports participation work with looked after children providing the resources required to fund this work. Historically there has been an underspend in this budget and in 2012/13, the projected underspend is £10,000, indicating that the activity it supports is at a lower cost than the allocated budget.
- 3.4 The impact of the reduction in these budgets for looked after children will be that the department will lose the flexibility these budgets offers to promote additionality for looked after children. However, the creation of the reserve to support development work will mitigate the impact for projects that are currently in the pipeline. Within the divisional budget there remains a budget commitment for improving outcomes for looked after children and this budget will continue to be used to support participation and extra curricular activities for children in care. Funding has also been allocated to schools through the Pupil Premium to provide additional support for children looked after as well as other vulnerable pupils and the authority is working with schools to ensure that this funding is maximised to improve the education outcomes for looked after children.
- 3.5 During 2011/12, the division redesigned and re-commissioned the service specification for the delivery of child and adolescent mental health services (CAMHS) for children looked after from Tees Esk and Wear Valley NHS Trust. This contract provides dedicated services for these vulnerable children over and above the services commissioned for all children in Hartlepool by PCT. Under the revised service specification, the division has ensured that it is not commissioning services for children looked after which are included in the PCT contract. For example the provision of psychiatric services; if a looked after child requires this type of support, s/he will receive this as an entitlement through the PCT contract, therefore the local authority should not be commissioning this service as well. As a consequence of the redesign of the service specification, which includes a clear stipulation of the number of sessions purchased per week from, for example, psychologist, primary mental health workers and therapists, the service can monitor services received and ensure that looked after children benefit directly from these additional services.
- 3.6 The revised service specification has reduced the cost of the contract realising a saving of £20,000, which it is proposed forms part of the divisional savings target. Due to the stringent service specification and monitoring

arrangements in place for the delivery of these CAMHS services for looked after children, there will be no detrimental impact arising from this saving which has been realised as a result of robust negotiation and commissioning.

- 3.7 In 2011/12 the service consolidated its contracts with providers of therapeutic services for children and created a spot purchase budget to procure these services under a framework agreement rather than block contracting with providers. As it was the first year of this revised arrangement, a budget was set aside for these services and the current spend and forecast indicates that this budget can be reduced. It is therefore proposed that this budget is reduced by £10,000. It is not anticipated that this saving will have a detrimental impact upon the delivery of therapeutic services for children as these will continue to be arranged within the remaining budget.
- 3.8 The balance of the proposed savings for children's social care is made up of the consolidation of a number of costs centres where changes of accommodation and practices have resulted in budget under spends. This includes supplies and services budgets which as a result of rationalisation of capital assets are no longer required and budgets with uncommitted balances that have, in the past, been used to fund service development work. In 2012/13, these budgets have not been spent and the consolidation of them, which amounts to £33,000, is proposed for savings. There will be no impact upon the delivery of services for children through the removal of this funding as it has not been required within the current year and officers now undertake service development work.

EARLY INTERVENTION AND PREVENTION SERVICES

- 3.9 In 2011/12 the division developed an Early Intervention Strategy which came about as a consequence of the removal of the ring fenced grants that were previously allocated for these services. The removal of ring fenced arrangements allowed local authorities to look more flexibly at how services were delivered and make them more responsive to need in the local area. The strategy was ratified by Cabinet in December 2011 and the implementation of the Early Intervention Strategy commenced in April 2012.
- 3.10 As part of the development of the new service, a saving of £220,000 was created in preventative services base budgets when these transferred to the re-modelled provision funded from the Early Intervention Grant. It is proposed that this saving contributes towards the divisional savings target for 2013/14.
- 3.11 Under the Early Intervention Strategy, it was identified that there is a need to promote the emotional health and wellbeing of children, young people and their families at a universal and targeted level. Therefore within the strategy, a budget of £100,000 was allocated for the procurement of two primary mental health workers from Tees, Esk and Wear Valley NHS Trust (TEWV) to work within the north and south locality teams. Over the past 6 months the

service has worked with the Trust to recruit to these posts without success. In the meantime, further work has been undertaken on a Tees wide basis to develop child and adolescent mental health services and the PCT has committed funding to local areas for community based primary mental health workers. These workers will be identified from within existing TEWV staff as the service is remodeled under a new service specification. This development from the PCT fits with the proposals within the Early Intervention Strategy and meets the same assessed need; therefore it is proposed that the £100,000 is taken as a saving.

- 3.12 As the savings identified from early intervention and prevention are as a consequence of the transfer of funding to the early intervention grant, there will be no impact upon staff or services as these continue to be delivered funded by the Early Intervention Grant. Similarly there will be no impact resulting from the decision not to continue with the procurement of primary mental health workers and offering this budget as a saving given this is now being funded by the PCT. However, the Government has recently announced significant cuts to this grant in 2013/14 and 2014/15 and a report outlining the risks and proposals to mitigate these as far as possible was considered by Cabinet on 19th November 2012.

YOUTH OFFENDING SERVICE

- 3.13 A saving of £22,000 is proposed from the Youth Offending Service. This service is funded by a grant from the Youth Justice Board and a partnership budget to which the local authority is the major contributor. As part of the funding, the budget makes provision for the delivery of a substance misuse nurse to work with young people in or on the periphery of the criminal justice system. Following the departure of the postholder in 2010, this post has been vacant and substance misuse services have been provided through the wider substance misuse contract for young people delivered by Hyped. When the substance misuse service was re-commissioned in 2012, the service specification included the detailed requirements of the service to support young people in contact with the Youth Offending Service. This contract is fully funded through the Early Intervention Grant and meets the requirements of the Youth Offending Service as they have a full time substance misuse worker based in the team.
- 3.14 It is proposed that 50% of the allocated budget (£22,000) is taken as savings for 2013/14. The remaining amount will be retained within the budget to mitigate potential future risks associated with cuts to the Early Intervention Grant, a revised youth offending grant formula likely to be introduced in 2013/14 and the transfer of funding of the Youth Offending Service to the Police and Crime Commissioner. As the young people's substance misuse service contract includes the provision of services to young people in the youth offending service, there will be no impact on staff, service users or service delivery from this savings proposal.

4.0 OPTIONS ANALYSIS

4.1 A number of other savings options have been considered within Prevention, Safeguarding and Specialist Services, however these have been discounted primarily due to the potential impact they have on service delivery and the risks associated with realising the savings. These include:

- Freezing foster care allowances – HBC currently pays the Fostering Network recommended allowance rates to foster carers and has, year on year, uplifted its rates in accordance with the recommended rate. This has ensured that the Council competes well in the fostering market and continues to attract prospective foster carers to the Council. Not uplifting foster carers rates on an annual basis will have an impact upon our ability to continue to recruit foster carers and may result in existing carers moving to the independent sector. The loss or slowing of recruitment of foster carers will increase the Council's dependence upon the provision of foster placements from the independent sector which are higher cost as an agency fee is paid in addition to the carers allowance for the child. In the long term, this shift will result in substantially higher placement costs for the local authority and therefore would be a false economy.
- Reduce capacity within social work and prevention teams – currently there is an increasing demand for services for children and young people and their families as demonstrated by the increasing numbers of referrals to social care and increase in children looked after. Staff caseloads are being effectively managed, however any reduction in the number of workers in the teams will increase caseloads to an unmanageable level and result in unacceptable risks in terms of child protection, staff well being and achievement of performance indicators.
- Reduce spend on placements for children looked after – the service is robust in seeking to manage demand for placements and the costs of these. The numbers of children looked after are increasing in Hartlepool and this is reflective of the national picture. Services are in place to, wherever possible, prevent the need for a child to come into care, however where children cannot be safely maintained with their family it is necessary for them to become looked after as not to do so would result in them being at risk of significant harm.
- Further reductions in prevention and early intervention services – research highlights the long term benefits to children and their families of early intervention and prevention of problems from becoming acute and harmful. Reducing the capacity of early intervention services will very likely increase pressure on specialist services for example youth offending and children's social care which are higher cost. In addition, as a consequence of cuts to future funding for these services, they will be scaled back substantially in 2013/14.
- Further reductions in the Youth Offending Service – there are plans to revise the funding formula for the Youth Offending Service and in the future, some or all of these services will be commissioned by the Police and Crime Commissioner. The uncertainty of future funding of the Youth Offending Service means that cuts should not be

considered until the future arrangements and their impact on the local service becomes clear.

- 4.2 The above options have not been proposed for savings for the reasons outlined. The proposals outlined in this report in the view of officers are the most efficient and effective options as they have the lowest risks associated with them in terms of impact upon children and young people and service delivery.

5.0 RISK IMPLICATIONS

- 5.1 There are a number of risks implicit in the delivery of any package of savings and it is important to recognise these as part of any decision making. A summary of the risks considered as part of the proposals has been identified below:

- Reduced flexibility and funding to fulfill our corporate parent responsibilities to children looked after. Removal of budgets that have been used to provide additionality for children looked after means there will be less opportunity to deliver high cost service developments in the future. However, in the past two years a number of projects have been or are in the process of being delivered and reserve funding is available to complete these. For individual children, there remains funding within the budget to promote participation, corporate parenting activities and opportunities for them to enjoy a variety of activities that enhance their wellbeing.
- The biggest risk to early intervention services in the context of the proposed savings in 2013/14 relates to the recent announcement of a cut of £1.1m in 2013/14 and a further £0.5m in 2014/15. This information was not known when the divisional savings were initially developed. A full report has been presented to Cabinet on these risks with proposals for use of reserve to mitigate the immediate impact of the cuts so that services can be scaled back in a planned and evidence based way.
- For the Youth Offending Service there are risks associated with the uncertainty around future funding arrangements. In order to effectively manage this, the service has held vacant posts and retained 50% of the funding for the substance misuse nurse post to mitigate the uncertainty and risk.

6.0 FINANCIAL CONSIDERATIONS

- 6.1 The Savings Programme 2013/14 is planned to deliver total savings of 3.8m towards the budget deficit for 2013/14. It has been highlighted in previous reports to Cabinet that failure to take savings identified as part of the Savings Programme will only mean the need to make alternative unplanned cuts and redundancies elsewhere in the Authority to balance next year's budget.

6.2 The proposals for Prevention, Safeguarding and Specialist Services meet the target set for the division and are sustainable as provision is made to manage the budget reduction and continue to deliver services effectively.

6.3 The proposals deliver the following proposed savings:-

Service	Proposed Savings
Care Matters Grant	£60,000
Improving outcomes for CLA	£10,000
CAMHS	£20,000
Contracts	£10,000
Consolidation of budgets	£33,000
Early Intervention and Prevention Service	£320,000
Youth Offending Service	£22,000
Total Proposed Savings	£475,000

6.4 There are no associated costs with delivering the proposed savings.

7.0 EQUALITY AND DIVERSITY CONSIDERATIONS

7.1 An Impact Assessment has been undertaken and is attached as Appendix 1.

7.2 The vast majority of children who receive services from the division are vulnerable children and their lives are affected by issues such as poverty, abuse and neglect, poor parenting and deprivation. The savings proposals will affect vulnerable children through the reduction in funding to the services they receive. However, in identifying these savings proposals, every effort has been made to minimise the impact on vulnerable children by identifying the least disruptive options and where capacity remains within the service to mitigate the impact.

8.0 STAFF CONSIDERATIONS

8.1 There are no staffing implications to the savings proposals put forward within this report.

9.0 COMMENTS FROM SCRUTINY REVIEW

9.1 Members supported all the savings proposals presented to the Children's Services Scrutiny Forum and recognised that the areas identified would have the least impact on front line services and staffing. However, Members did note that the proposals stripped out any flexibility of service provision in a number of the areas identified.

9.2 With regard to the divisional savings for Prevention, Safeguarding and Specialist Services, Members supported the savings proposals, but raised

concerns regarding the sustainability of funding in a number of areas, particularly where services were now fully or partially dependant on external/partner funding, which cannot be guaranteed to continue in the future.

9.0 RECOMMENDATIONS

- 9.1 That Cabinet approves the proposed saving of £475,000 from the Prevention, Safeguarding and Specialist Services division of Child and Adult Services for 2013/14.

10.0 REASONS FOR RECOMMENDATIONS

- 10.1 The review forms part of the 2013/14 Savings Programme, as set out in the Medium Term Financial Strategy 2013/14 to 2016/17 report to Cabinet on 11th June 2012.

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

12 BACKGROUND PAPERS

Early Intervention Strategy December 2011
Participation Strategy 2012
Cabinet Report – Medium Term Financial Strategy (MTFS) 2013/14 to 2016/17 – Update 19/11/2012

13 CONTACT OFFICER

Sally Robinson
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Impact Assessment Form

Department	Division	Section	Owner/Officer
Child and Adult Services	Prevention, Safeguarding and Specialist Services	Prevention, Safeguarding and Specialist Services	Sally Robinson
Function/Service	Prevention, Safeguarding and Specialist Services division of Child and Adult Services		
Information Available	<p>Children receiving services from Prevention, Safeguarding and Specialist Services are amongst the most vulnerable children in the town and their lives are affected by issues such as poverty, abuse and neglect, poor parenting and deprivation. As a consequence, they are vulnerable to poor outcomes in terms of their health, education and social and emotional development. Within this group of vulnerable children, the division provides services to children looked after, children at risk of significant harm and children and young people in the Youth Offending Services. These children are especially vulnerable and have significantly poorer outcomes when compared to their peers for example in areas such as educational achievement, mental health and wellbeing and engagement in education, employment and training.</p> <p>The division provides services to children, young people and their families across the continuum of need including universal services e.g. youth clubs; targeted services e.g. children's centres and prevention teams; and specialist services e.g. children's social care and youth offending service. The greatest number of children access universal services which are open to all children in the town. The early intervention services offer universal services, for example via services available through children's centres, however, these services are targeted at children and their families who have needs that require additional support and if continued unmet would escalate becoming more complex and acute. The services delivered under the early intervention strategy are supporting approximately 1,000 children and their families.</p> <p>Specialist services are delivered in accordance with the statutory framework through the Children Act 1989 for children's social care and the Crime and Disorder Act 1998 for the Youth Offending Service. As at 30 September 2012, there were 956 children active to social care, of whom, 198 were looked after, 101 were subject to a child protection plan and 657 were children in need. Within the Youth Offending Service there are 54 young people receiving a statutory service and a further 78 young</p>		

people being supported by the service to prevent them from entering the criminal justice system.

The proposals for savings affect all services delivered by the division. Demand for services is high and the service has seen an increase in the numbers of referrals for both prevention and social care services. The delivery of the savings will have a small impact upon the services provided as there will be less funding within the budget to manage resources flexibly.

The impact of the reduction in the funding for looked after children will be that the department will lose the flexibility these budgets offers to promote additionality for looked after children. However, the creation of the reserve to support development work will mitigate the impact for projects that are currently in the pipeline. Within the divisional budget there remains a budget commitment for improving outcomes for looked after children and this budget will continue to be used to support participation and extra curricular activities for children in care. Funding has also been allocated to schools through the Pupil Premium to provide additional support for children looked after as well as other vulnerable pupils and the authority is working with schools to ensure that this funding is maximised to improve the education outcomes for looked after children. A revised service specification for the child and adolescent mental health services for children looked after will ensure that services commissioned meet the needs of children in care that they benefit directly from these additional services.

There will be no impact associated with the savings proposed from the Early Intervention Service as funding for posts has been transferred from the revenue support budget to the Early Intervention Grant. Services previously proposed to be commissioned through the use of the grant are now being commissioned by the PCT and will meet the purpose of these roles as outlined in the early intervention strategy. As part of the development of the strategy, a series of consultation sessions were completed with groups of children, young people, parents and carers, staff and partner agencies. The information from these sessions was collated into emerging themes and informed the development of the strategy.

There will be no impact associated with the savings proposed from the Youth Offending Service. Through the re-commissioning of the Young People's Substance Misuse Service, substance in 2012, the service specification included the detailed requirements of the service to

	support young people in contact with the Youth Offending Service. This contract is fully funded through the Early Intervention Grant and meets the requirements of the Youth Offending Service as they have a full time substance misuse worker based in the team.		
Relevance <i>Identify which strands are relevant to the area you are reviewing or changing</i>	Age	J	
	Disability	J	
	Gender Re-assignment	J	
	Race	J	
	Religion	J	
	Sex	J	
	Sexual Orientation	J	
	Marriage & Civil Partnership	J	
Pregnancy & Maternity	J		
Information Gaps	No gaps in information identified. The savings proposals have been developed over a six month period allowing sufficient time for all of the relevant information to be taken into consideration.		
What is the Impact	The proposed changes support the three aims of the Equality Act to ensure services provided are appropriate to the needs of children and young people.		
Aim 1: <i>Eliminate unlawful discrimination, harassment, victimisation, and any other conduct prohibited by the act.</i>			
Aim 2: <i>Advance Equality of opportunity, between people who share protected characteristics and those who don't.</i>			
Services for vulnerable children aim to improve life chances, opportunities and outcomes.			
Aim 3: <i>Foster good relations between people who share a protected characteristic and those who do not share it.</i>			
Services for vulnerable children and young people, promote their needs and improving outcomes lead to improved community cohesion.			
Addressing the impact	1. No Major Change		
	2. Adjust/Change		
	3. Continue as is		
	4. Stop/Remove		
Action identified	Responsible Officer	By When	How will this be evaluated?

Date sent to Equality Rep for publishing			12/11/2012

Report of: Head of Planning and Development

Date: 17 December 2012

Subject: SAVINGS PROGRAMME 2013/14 – RESOURCES
AND SUPPORT SERVICES DIVISION OF CHILD
AND ADULT SERVICES DEPARTMENT

1 PURPOSE OF REPORT

- 1.1 The purpose of the report is to identify the proposals for delivering savings in respect of the Resources and Support Services Division as part of the budget for 2013/2014.

2 BACKGROUND

- 2.1 The report details one of the reviews which forms part of the 2013/2014 Savings Programme.
- 2.2 The proposals in the report identify the savings to be made, the risks associated with these and the considerations which have been taken into account in developing them including consideration of key elements which together comprise SROI.
- 2.3 The services under consideration in this report are as follows,
- Support Services and Admissions** – Administrative support to the Child and Adult Services Department and school admissions arrangements;
- Performance and Management Information** – Management and school performance data;
- Schools Transformation** – Capital development planning across all school sectors
- 2.4 **Service Users** – The range of services covered by this report are delivered across the whole department as a support to internal users and in providing specific services to school sectors and a neighbouring Local Authority.
- 2.5 **Engagement** – Service users provide feedback in a number of different ways and this is determined by the type of service, arrangements to do with the type of delivery and target group. Examples include:
- Regular progress meetings;

- Service agreements;

2.6 Inputs

The net cost to the Council of providing these specific services within the Resources and Support Services Division are as shown below:

	Net Cost	Gross Budget
Support Services and Admissions	£709,979	£709,979
Performance and Management Information	£151,706	£214,700
Schools Transformation	£ 20,761	£ 20,761
<u>TOTAL</u>	£882,446	£945,440

2.7 Outputs

The Resources and Support Services Division manages and delivers the following across school sectors and the department:

- Income generation from neighbouring Local Authority;
- Delivery of Support and Management Information Services to the Child and Adult Services Department and Schools
- Planning and preparation of the Schools' Capital Programme
- Contract management of the BSF ICT Contract

2.8 Savings target

The savings target for the Child and Adult Services Department for the financial year 2013/2014 is £2,580,000 with the Resources and Support Services Division having to achieve £90,000 of this figure.

3 SAVING PROPOSALS

3.1	<u>Support Services</u>	
	Various non-staff budgets	£60,000
3.2	<u>School Admission</u>	
	Provision of appeals service to neighbouring Local Authority	£15,000
3.3	<u>Performance and Management Information</u>	
	Reduction of hours in a post	£10,500

3.4	<u>Schools Transformation</u>	£6,000
	Reduction in feasibility budget	
	<u>TOTAL</u>	£91,500

3.5 Impact of Proposals

3.6 Proposals have been drawn up with a view to minimising the impact on service delivery across the department:

- Savings in Support Services are drawn from Premature Retirement Costs, Mobile Phones, Consumables, Catering and Supplies and will have little impact as primarily the reductions are a result of under utilised budgets.
- The reduction in hours of the Performance and Management Team will be covered by a reorganisation of workloads and functions within the team itself;
- The savings rely upon income generation in relation to the increased workload arising from arrangements to manage the appeals process in a neighbouring Local Authority which generates an income of £15k annually;
- Early feasibility work on the schools' capital programme can be met by project funding with less reliance on this budget.

4 OPTIONS ANALYSIS

4.1 In order to prevent reduction to the size of the Resources and Support Services Division pending the outcome of the major Support Services Review, it was considered appropriate to focus on a detailed examination of all administrative budgets and to fully utilise the opportunity that has presented itself to bring in additional income following an approach by another Local Authority. All of the savings and earned income proposals can be achieved without a detrimental impact on the department. The review of Support Services is expected to be implemented by the summer of 2013 in readiness for the 2014/15 savings round.

5 RISK IMPLICATIONS

5.1 There are a number of risks implicit in the delivery of any package of savings and it is importance to recognise these as part of any decision making. A summary of the risks considered as part of the proposals has been identified below:

- Increased pressure and less flexibility;
- Potential for income generation – contribution and new opportunities;
- Balance of workload conflicting with income earning potential;
- Possible reduced effectiveness.

6 FINANCIAL CONSIDERATIONS

6.1 The Savings Programme 2013/2014 is planned to deliver total savings of £3.8m towards the budget deficit for 2013/2014. It has been highlighted in previous reports to Cabinet that failure to take savings identified as part of the Savings Programme will only mean the need to make alternative unplanned cuts and redundancies elsewhere in the Authority to balance next year's budget.

6.2 The proposals deliver the following proposed savings:

Service	Proposed Savings
Support Services	£60,000
School Admissions (income)	£15,000
Performance and Management Information	£10,500
Schools Transformation	£ 6,000
Total Proposed Savings	£ 91,500

7 EQUALITY AND DIVERSITY CONSIDERATIONS

7.1 An Impact Assessment has been undertaken for each service areas to ensure the impact upon service users is minimal. The Impact Assessment form is included at **Appendix A**.

8 STAFF CONSIDERATIONS

8.1 Informal dialogue will be undertaken with Trade Unions and staff. Staff impacted on by the proposals are fully supportive of the plans. There are no redundancy implications contained within this proposal.

9 COMMENTS FROM SCRUTINY REVIEW

9.1 Members supported all the savings proposals presented to the Children's Services Scrutiny Forum and recognised that the areas identified would have the least impact on front line services and staffing.

10 RECOMMENDATIONS

10.1 It is recommended that Cabinet accept the proposals as outlined above.

11 REASONS FOR RECOMMENDATIONS

- 11.1 The review forms part of the 2013/14 Savings Programme, as set out in the Medium Term Financial Strategy 2013/14 to 2016/17 report to Cabinet on 11TH June 2012.

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

- 12.1 **Appendix A** - Impact Assessment Form

13 BACKGROUND PAPERS

- 13.1 There are no background papers to this report.

14 CONTACT OFFICER

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Department	Division	Section	Owner/Officer
Child and Adult Services	Performance and Achievement	Resources and Support Services	Peter McIntosh
Function/Service	<p>Resources and Support Services. Changes proposed to address the budget deficit and achieve targets set.</p> <p>Support Services – Proposals for reduction in a number of non-staffing budgets that are under utilised.</p> <p>Admissions – Proposal to generate additional income through management of appeals work in a neighbouring Local Authority.</p> <p>Performance and Management – Proposal to decrease resources through the voluntary reduction of hours by a member of staff.</p> <p>Schools Transformation – Proposal to decrease some of the resources used to fund feasibility studies in the schools capital sector.</p>		
Information Available	<p>Information available that has been used to inform these proposed changes:</p> <ul style="list-style-type: none"> • Current structures and proposed structure • Job Description • Consultation with staff and Unions • Divisional and sectional budgets 		
Relevance	Age		
<i>Identify which strands are relevant to the area you are reviewing or changing</i>	Disability		
	Gender Re-assignment		
	Race		
	Religion		
	Gender		
	Sexual Orientation		
	Marriage & Civil Partnership		
	Pregnancy & Maternity		
Information Gaps	None		
What is the Impact	Careful consideration has been given to the financial proposals and they are not deemed likely to impact on equality for the workforce. No adverse equality impact has been identified.		

Addressing the impact	1. No Major Change – The Impact Assessment shows that the proposals are robust and that there is no potential for discrimination or adverse impact on any protected group.		
	2. Adjust/Change Policy – non applicable		
	3. Adverse Impact but Continue – non applicable		
	4. Stop/Remove Policy/Proposal – non applicable		
Actions			
Action identified	Responsible Officer	By When	How will this be evaluated?
Date sent to Equality Rep for publishing		00/00/00	
Date Published		00/00/00	
Date Assessment Carried out		00/00/00	

Report of: Assistant Director – Regeneration and Planning

Subject: SAVINGS PROGRAMME 2013/14 – REGENERATION AND PLANNING SERVICES

1. PURPOSE OF REPORT

- 1.1 The purpose of the report is to identify the proposals for delivering savings in respect of the Regeneration and Planning Division as part of the budget for 2013/14.

2. BACKGROUND

- 2.1 The report details one of the reviews which forms part of the 2013/14 Savings Programme.
- 2.2 The proposals in the report identify the savings to be made, the risks associated with these and the considerations which have been taken into account in developing them including consideration of key elements which together comprise SROI.
- 2.3 The services under consideration as part of this report are as follows,
- 2.3.1 **Planning Services** – Planning Services is responsible for Planning Policy Development Control, Planning Enforcement, and Landscape Planning and Conservation. Planning Policy: Is responsible for spatial planning policy and sustainable development policy, this includes the preparation, monitoring and review of the statutory Local Development Framework including the Core Strategy, which will establish the overarching planning policy framework for the Borough and will eventually replace the Hartlepool Local Plan. The section also provides policy advice in relation to planning applications and guidance on development activities, including the preparation of development briefs. Development Control & Planning Enforcement: This section is concerned with assessing proposals for new development and their impact on their surroundings, particularly in the form of planning applications. The service encourages the use of an advisory service (One Stop Shop) to enable proposals to be considered informally before applications are submitted, helping to improve the quality of development where appropriate. The section is also responsible for monitoring development and, where necessary, implementing enforcement action against unauthorised development, including derelict and untidy buildings and land. Landscape Planning and Conservation: Provide professional and technical expertise aimed at the conservation, protection and enhancement of the natural and built environment of Hartlepool.

- 2.3.2 Public Protection** - The Public Protection section consists of three discrete teams: Commercial, Environmental Protection and Trading Standards & Licensing. The Commercial Team carries out inspections, complaint investigation and sampling to ensure that food is safe and fit to eat and workplaces are safe. The Environmental Protection Team is involved with noise and pollution related matters as well as providing a comprehensive service for pest control and managing and promoting the open market. The Trading Standards & Licensing Team ensures that the business sector complies with a wide range of trade and consumer legislation. The team also issues and carries out enforcement relating to a large variety of licences, including Alcohol, Entertainment, Takeaways, Taxis, Gambling and Fireworks.
- 2.3.3 Housing Services** - The Housing Services Team is responsible for administering and undertaking the Council's strategic housing functions, together with Housing Market Renewal activity and the Housing Options Service based at Park Tower. Activity also includes managing bids for associated housing and regeneration funds, together with funding for the provision of affordable housing, housing advice and homeless services, tenancy advice and assistance. The team work with Registered Providers to build affordable housing in the town and with other developers to improve and increase the affordable housing options available in Hartlepool. Their role is also to support and assist in the progression of the Housing Partnership. In addition, the team co-ordinates and works with housing delivery services teams to ensure an integrated Housing Service across the Authority. The Private Sector Housing team is involved in the current problems associated with low demand in the private housing sector, working with landlords regarding empty homes and selective licensing and leads on key delivery projects such as the empty property acquisition project. The team also provides financial help for adaptations to houses for disabled persons and to owners to improve the condition of private houses. The Housing Advice Team runs the Choice Based Lettings Service, maintains the Housing Register (waiting list), gives free advice and, where appropriate, assistance in obtaining and keeping accommodation. The team operates a Tenancy Relations Service to give advice and assistance to landlords and tenants in the conduct of tenancies.
- 2.3.4 Economic Regeneration** - The Economic Regeneration Team provides the Council lead on the Jobs and Economy Theme and offers services to residents and businesses. The Business Team is responsible for Hartlepool's Business Incubation System providing business infrastructure such as Queens Meadow, Incubation Units at Hartlepool Enterprise Centre and working with key partners including UKSE to develop high quality business units. The Team has established Enterprise Zones at Queens Meadow, Port Estates and Oakesway. At the same time the team works with growth companies to ensure they can maximise financial assistance available through, for example, Regional Growth Fund where the team has a successful track record. The Regeneration Team is driving forward regeneration plans

for Seaton Carew, based on mixed development opportunities, Mill House and Skills Quarter initiative. The Tourism Team undertakes specialist business support for the visitor economy and is actively involved in the development of a range of activities including the EAT Initiative. The service is also at the forefront of e marketing activities. Hartlepool Working Solutions offers employability services to get residents back into training and employment.

2.3.5 Building Control - The Building Control Section provides a mix of advisory, consultancy, inspection and enforcement services. Its aim is to ensure that building work is carried out to meet the national Building Regulation requirements, which include health and safety, energy conservation, disabled access and facilities, electrical safety and water conservation measures. This is achieved by examining submitted plans, site inspections, enforcement of non-compliant and unauthorised work and consultations on various matters such as safety at sports grounds. The Building Control team work closely with many agencies and Council sections, especially Development Control, to allow for ease of development for those undertaking building work, providing pre-submission advice via the One Stop Shop.

2.3.6 Service Users

The range of services covered by this report are delivered across the whole of the borough dealing with all age groups, however, within these functions there are many discreet services which are tailored for particular user groups, for example,

- Going Forward project – 16 to 24 year olds (NEETS)
- Flexible Support Fund – 80% targeted towards 18 to 24 year olds.
- Selective Licensing – targeted towards areas of the town with a high proportion of private rented housing
- Housing Adaptations service – targeted towards people with disabilities
- The Business Team – supports the business community from both new start businesses through to large inward investors.

2.3.7 Engagement

Feedback from service users is obtained in a number of different ways and this is often determined by the type of service, the target audience, the way in which it is delivered. Examples include,

- Development of the Economic Regeneration Strategy – involved full consultation and engagement with the business community, partner

agencies, the third sector, colleges, residents, etc through workshops and web based engagement.

- Building Control – regular annual customer satisfaction survey.
- Private Sector Housing services – full scrutiny investigation including workshops with residents, landlords, agents and presentations to the Neighbourhood Services Scrutiny forum and members of the public by other local authorities, the probation service, etc.
- Housing Regeneration Carr and Hopps Street – fortnightly drop in session for local residents to keep them informed of developments and discuss their housing needs.
- Development of Housing Strategy – visited all residents groups and consultative forums to share information and discuss proposals.
- Regular attendance at residents groups related to issues of housing standards, Selective Licensing, Empty Homes strategy, etc.
- Public Protection undertake questionnaire survey of businesses regarding the services they have received whether it be for Trading Standards, Commercial Services or Licensing services.
- Visitor surveys related to tourism activities, for example the Golf Week to evaluate the success and to learn from comments and suggestions.
- Annual satisfaction survey with tenants of the Hartlepool Enterprise Centre.
- Regular consultation with key stakeholders through the Economic Regeneration Forum and the Housing Partnership.
- All trainees on employability programmes including Going Forward are regularly consulted for satisfaction ratings.
- These are just a few examples of the many forms of consultation and engagement undertaken to ensure that the right services are being delivered and in the right way to meet customer needs and expectations. The information and feedback collected is then used to shape and inform future service delivery. A recent example of this is the consultation and engagement undertaken in the run up to the relocation of

2.4 Inputs

The net cost to the Council of providing the services within the Regeneration and Planning Division are as follows,

Economic Regeneration	£1,041,000
Planning Services	£ 453,000
Public Protection	£ 551,000
Housing Services	£ 608,000
Building Control	£ 224,000
Total	£2,877,000

2.5 Outputs and Results

Building Control

- The service significantly impacts on key outcomes by the enforcement of the Building Regulations, contributing towards the health, safety and wellbeing of Hartlepool residents and visitors alike by ensuring their safety in and around buildings. The service also has a positive key impact on sustainability in regard to climate change issues and at the same time contributes to the health and wellbeing of local residents.
- Hartlepool Building Control section enforces the national Building Regulations by way of plan appraisals, site inspections, and contravention inspections. This ensures that buildings and developments are built to agreed national building regulation standards.

Economic Regeneration

- The service contributes to a range of key economic performance outcomes including unemployment and employment rates, business start up and business stock levels, provision of key business infrastructure including business park development and managed workspace. Whilst not the focus of the service the health and wellbeing of local residents is positively impacted on through meaningful employment.
- Hartlepool was particularly successful in RGF round 2 with five Hartlepool companies receiving awards including Heerema, Huntsman Tioxide, PD Ports, Able UK and J&B Recycling. Hartlepool achieved 55% of the round two allocations made in Tees Valley. Total proposed private sector investment including potential end users for PD Port and Able UK are as follows;

Total direct jobs	1,920
Total indirect jobs	2,236
Construction jobs	500

Safeguarded jobs 462
 Total investment £225m

- Hartlepool achieved 33% of the land allocation within the Tees Valley Enterprise Zone with Port Estates achieving ECA status, Queens Meadow achieving NDR discount status and Oakesway Industrial Estate achieving local Enterprise Zone status.

Planning Services

- The service contributes to key outcomes including supporting the long term sustainable development and growth of the town which in turn impacts on the health and wellbeing of local residents.
- The determination of planning applications which supports the development and growth of the town and also carries out appropriate planning regulation enforcement which supports appropriate development and growth. Planning plays a key role in a comprehensive and coordinated approach of action against untidy and derelict buildings and land and also deals extensively with the control of waste sites.
- Production of the Local Development Framework which provides a long term plan to support the development of the town and at the same time supporting the Council's priorities. In addition the framework will incorporate CIL obligations to secure funding to implement new infrastructure investment.
- The service has supported the development of Hartlepool's three Enterprise Zones with the implementation of LDO's.
- Development of planning and development briefs for key sites including master planning which helps deliver growth through the allocation of sites.
- Provision of the One Stop Shop advisory service which helps to ensure applications are submitted that address relevant issues.
- Conservation provides specialist advice aimed at the conservation, protection and enhancement of the natural and built environment of Hartlepool including advice and guidance to owners of listed buildings and other historic assets and has supported conservation areas by providing grant support. The service includes ecology and arbocultural advice and the service has undertaken paid for consultancy work. Current key projects include the Limestone Landscape project in Hart and Elwick, the Village Atlas for Elwick and the delivery of greater public access and connectivity in the area supported by Heritage Lottery Funding. In addition the service ensures that the Authority complies with all statutory duties and contributes to external environmental plans such as the European Marine Site Management Plan.

Housing Services

- The service contributes to key performance outcomes including the reduction in empty homes, improved residential accommodation including HMR and reducing homelessness, which in turn contributes to the health and wellbeing of local residents.
- Empty Homes initiatives are a key activity within this service, including a pilot programme with Housing Hartlepool and the Empty Homes purchase scheme.
- The service proactively uses section 215 planning powers to improve housing conditions and at the same time undertakes statutory enforcement where appropriate.
- A range of grant assistance is delivered to help owners carry out essential repairs and also offers the disabled facilities grant.
- Housing and homelessness advice is provided and specific targeted support is given to many vulnerable groups and clients which allows individuals to maintain independent living.
- The service also develops strategies and provides specialist advice on the development of appropriate Council policies in relation to the housing market and at the same time liaises with external partners and developers to ensure the appropriate provision of residential accommodation. A developing area of work is around welfare reform and there is extensive liaison with partners to ensure that local residents are fully supported through major reform processes.
- Housing Regeneration remains a key issue for the town with several sites including Carr Hopps seeing significant investment in improving homes and housing stock.
- Choice based letting allocations has been successfully implemented in the town and is very popular with clients and service partners.
- Selective Licensing has been introduced to improve standards in properties in low demand areas. This tool is proving useful in conjunction with other measures to improve housing management.

Public Protection

- The Public Protection service contributes to key performance outcomes by the enforcement of food, health & safety, animal health, environmental protection, trading standards and licensing legislation which aims to safeguard and improve the health and well-being of people working, living and visiting Hartlepool. In addition we provide technical and professional

advice to duty holders (internal & external), local businesses and members of the public.

- The following are key activities of the service and their associated outcomes:
 - Discharge of a wide range of statutory functions
 - Premises Visits
 - Investigation of complaints and notifiable incidents e.g. accidents, food poisoning, air pollution and noise complaints etc.
 - Licensing, Registration or Approval of premises, processes and persons
 - Provision of pest control service
 - Management of open market
 - Provision of technical & professional advice
 - Sampling & monitoring e.g. food, water, air quality, product safety
- Key outcomes include :-
 - reduction in work-related accidents and occupational disease
 - reduction in food poisoning
 - reduction in complaints
 - reduction in crime and/or public disorder e.g. doorstep crime
 - an improvement in health
 - an improvement in environmental quality (air & water quality)
 - an improvement in public safety
 - better informed, legally compliant businesses

2.6 Savings target

The savings target for the Regeneration and Neighbourhoods Department is £1,048,000 for the financial year 2013/14. The approach taken within the Department has been not to apportion specific percentage targets to each Division/service, but to look at options emerging from across the department in a more structured manner in order to achieve the overall target.

3 PROPOSALS

3.1 Planning Services

Reduce the number of Planning Services staff by one post.

In addition, as a result of all of the planning functions being brought together under one service manager during the last round of budget savings, other savings have been identified through the consolidation of budgets.

3.2 Public Protection

Various proposals including the following,

- Non implementation of the Career Development Scheme
- Deletion of one post within the service
- Misc small budget items
- Income generation related to new commercial contracts for pest control services related to mice

The proposed savings can be achieved, though there are certain risks which need to be borne in mind. The decision not to implement the career development scheme has been agreed with staff in consultation with the trade unions. This however, is on the understanding that if and when the financial situation of the Council improves, discussions can be recommenced with a view to its implementation.

3.3 **Housing Services**

Reconfiguration of the Service leading to a reduction of one post.

The risks involved in reducing by one post mean that other officers will be required to pick up additional duties from the deleted post. This can be managed, but will increase the pressure upon staff at a time when all staff are working under extreme pressure. As part of this process, two other members of staff dealing with Housing Adaptations would transfer across to the Resources Division within Building Design and Management. This would create greater resilience within that service area.

3.4 **Economic Regeneration**

Reconfiguration of the service resulting in the reduction of one post. In addition, it is proposed to reduce the marketing budget.

As with the proposal for a similar reconfiguration within the Housing Services area, there are risks and impacts associated with a reduction of this nature. There will be a need to integrate the role of the selected post across the rest of the section and there will be a loss of expertise.

It is also worth pointing out that given the current state of the economy, the Economic Regeneration services are increasingly in demand due to the need to encourage new business formations, encourage business expansion and job creation, and encourage investment in the area, especially through the promotion of the Enterprise Zones in Hartlepool. There is also an increasing need to work with those people without employment, especially young people.

3.5 **Building Control**

Increased fee income from expanding the partnering service with builders and developers operating outside the Borough – this could be through offering a remote plan checking service, etc.

Grand Total across the division - £201,000**4 OPTIONS ANALYSIS**

4.1 Various options have been explored across all of the service areas within the Division, including the following,

- Reduce the number of Housing Advice team staff based at Park Tower
- Cease the Out of Hours Noise service
- Reduce the number of planning officers across both Development Control and Planning Policy
- Reduce the number of Environmental Health officers
- Further streamlining of management functions within the Division
- Reduce the Pest Control service.

4.2 In reaching the decision as to why these options have not been put forward in this report, the key driver has been the impact this would have on the delivery of frontline service. All of the above listed options would seriously impact upon the Council's ability to deliver key frontline and often statutory services at a time when these particular services are in increasing demand – eg impact of welfare reforms on the workload of the Housing Advice team.

5 RISK IMPLICATIONS

5.1 There are a number of risks implicit in the delivery of any package of savings and it is important to recognise these as part of any decision making. A summary of the risks considered as part of the proposals has been identified below:

- Increased pressure on frontline staff and management.
- Reduced staff morale. Where restructuring has a staff impact in a service area full consultation will be undertaken with staff in those areas and staff will be actively engaged in redesigning services to ensure that the service is delivered in an effective and efficient manner.
- Reduced effectiveness with regard to marketing the Borough to potential visitors and businesses. To mitigate against budget reductions the service will continue to move further towards e marketing as a cost effective and targeted approach, brochure printing will be rationalised and combined where appropriate. In addition income generation will continue supporting the cost of key marketing campaigns such as the EAT initiative.
- Loss of expertise. The proposed staff restructure will ensure that the majority of management and operational skill sets are still maintained at an appropriate level and training will be provided to staff where appropriate.

6 FINANCIAL CONSIDERATIONS

- 6.1 The Savings Programme 2013/14 is planned to deliver total savings of £3.8m towards the budget deficit for 2013/14. It has been highlighted in previous reports to Cabinet that failure to take savings identified as part of the Savings Programme will only mean the need to make alternative unplanned cuts and redundancies elsewhere in the Authority to balance next year's budget.

The proposals deliver the following proposed savings:-

Service	Proposed Savings
Planning Services	£57,000
Public Protection	£42,000
Housing Services	£48,000
Economic Regeneration	£49,000
Building Control	£5,000
Total Proposed Savings	£201,000

7 EQUALITY AND DIVERSITY CONSIDERATIONS

- 7.1 An Impact Assessment will be undertaken for each service area to ensure impacts upon service users is minimised.

8 STAFF CONSIDERATIONS

- 8.1 Informal dialogue will be undertaken with the trade unions and staff in order to flag up potential areas where staff may be placed at risk of redundancy. The potential number of redundancies as a consequence of these proposals being accepted is 4.

9 RECOMMENDATIONS

- 9.1 It is recommended to proceed with the proposals as outlined above.

10 REASONS FOR RECOMMENDATIONS

- 10.1 The review forms part of the 2013/14 Savings Programme, as set out in the Medium Term Financial Strategy 2013/14 to 2016/17 report to Cabinet on 11th June 2012.

11 BACKGROUND PAPERS

There are no background papers with this report

12 CONTACT OFFICER

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Report of: Director of Regeneration and Neighbourhoods

Subject: SAVINGS PROGRAMME 2013/14 – RESOURCES
DIVISION OF THE REGENERATION AND
NEIGHBOURHOODS DEPARTMENT

1 PURPOSE OF REPORT

- 1.1 The purpose of the report is to identify the proposals for delivering savings in respect of the Resources Division as part of the budget for 2013/14.

2 BACKGROUND

- 2.1 The report details one of the reviews which forms part of the 2013/14 Savings Programme
- 2.2 The proposals in the report identify the savings to be made, the risks associated with these and the considerations which have been taken into account in developing them including consideration of key elements which together comprise SROI.

- 2.3 The services under consideration as part of this report are as follows,

Logistics – Stores, plant, equipment, depot management and ancillary services

Procurement – Corporate Procurement Team and Reprographics.

Building Design and Management – Architects, surveying, technical support

Estates and Property Management – Centralised management of Council property, including energy management and asset management

Support Services – Administrative, financial and workforce support to the Regeneration and Neighbourhoods Department

Service Users

The range of services covered by this report are delivered across the whole of the borough as a support to internal customers within the Council and in providing commercial services to external organisations

Engagement

Feedback from service users is obtained in a number of different ways and this is often determined by the type of service, the target audience, the way in which it is delivered. Examples include,

- Satisfaction questionnaires
- Regular progress meetings
- Attending user forums e.g. Hartlepool Access Group

Inputs

The net cost to the Council of providing the services within the Resources Division are as follows,

	Net Cost	Gross Budgets (cost)
Logistics	£ 0k	£728K
Procurement (inc Reprographics)	£ 17k	£509k
Building Design and Management	£ 801k	£989K
Estates and Property Management	£ 196k	£375K
Support Services	£ 100k	£1,200K
<u>TOTAL</u>	£1114k	£3,801k

Note: Some areas do not have budgets and rely on fees and income as is demonstrated in the information above.

Outputs

- Delivery of Support Services to internal Council departments.
- Income generation from external organisations.

Savings target

The savings target for the Regeneration and Neighbourhoods Department is £1.1 million for the financial year 2013/14. The approach taken within the Department has been not to apportion specific percentage targets to each Division/service, but to look at options emerging from across the department in a more structured manner in order to achieve the overall target.

3 SAVING PROPOSALS

3.1 Collaboration

Original aspiration was to gain some “quick wins” in the Corporate Services Collaboration project particularly through joint procurement exercises and possibly staffing. It is too early in the project to identify such savings and therefore the £50k target has been taken up in the “Logistics” savings. £ 0k

3.2 Logistics

Use of stores services surplus and additional income through project work and selling of services £80k

3.3 Building Design and Management

Combination of technical / surveying staff and consequential reduction in number of staff through a retirement (Linking work on DFG / DPAs in Housing Services) £38k

Reduction of hours of Legionella Team Leader after a request from the member of staff £16k

3.4 Support Services

Combination of functions with a post in Public Protection £13k

Various non-staff budgets £ 6k

Reduction of hours in a post in Service Development after a request from the member of staff £ 6k

Reduction of one post in Support Services £15k

3.5 Estates and Property Management

Energy savings from reduced consumption as a result of energy saving measures instituted over the past two years through “Invest-to-Save” £30k

3.6 Procurement

Not replacing a member of staff who has recently left the Authority and developing existing team members (net saving) £24k

TOTAL £228k

3.7 Impact of Proposals

- The savings rely upon income generation in relation to maintaining existing services / workflow with reduced resources and bringing in additional income from external clients such as Housing Hartlepool and Health and capital works through the Empty Homes project. Schools are a major client in respect of capital works and revenue income therefore the reform of school funding and levels of future capital

investment pose risks to the fee earning requirements of non-budgeted areas.

- Savings in Support Services will rely upon more efficient working and reduction of service in some low risk areas.
- Reductions in the Procurement Team will be covered by a reorganisation of workloads and functions within the team itself (including developing team members) and in Support Services. Delivery of key projects such as the ICT Contract and the Child and Adult / VCS programmes will need to be monitored carefully. The reduction here may link into the Corporate Services Collaboration Project.

4 OPTIONS ANALYSIS

4.1 Various options have been explored across all of the service areas within the Division, including the following: -

- Reducing further the number of Technical Officers in Building Design and Management, however, in order to deliver workloads this would not be recommended. Most officers in this area are not budgeted and rely on fees. The workload is high at present.
- Reviewing the Print Unit – this was reviewed in the last two years and is contributing positively.
- The Estates and Asset Management Team were reviewed but the team was the subject of cuts last year and its workload determined that no reduction was justified.
- Maintenance budgets generally were considered, although this budget is reduced every time we dispose of a property.

5 RISK IMPLICATIONS

5.1 There are a number of risks implicit in the delivery of any package of savings and it is important to recognise these as part of any decision making. A summary of the risks considered as part of the proposals has been identified below:

- Increased pressure on frontline staff and management
- Potential for income generation – contribution and new opportunities
- Balance of workload versus fee earning potential
- Potential reduced effectiveness
- Loss of expertise and internal technical support generally and to key projects and programmes in particular

6 FINANCIAL CONSIDERATIONS

6.1 The Savings Programme 2013/14 is planned to deliver total savings of 3.8m towards the budget deficit for 2013/14. It has been highlighted in

previous reports to Cabinet that failure to take savings identified as part of the Savings Programme will only mean the need to make alternative unplanned cuts and redundancies elsewhere in the Authority to balance next year's budget.

The proposals deliver the following proposed savings:-

Service	Proposed Savings
Logistics	£80,000
Building Design and Management	£54,000
Support Services	£40,000
Property Management	£30,000
Procurement	£24,000
Total Proposed Savings	£228,000

7 EQUALITY AND DIVERSITY CONSIDERATIONS

- 7.1 An Impact Assessment has been undertaken for each service area to ensure impacts upon service users is minimised. The Impact Assessment form is included at **Appendix 1**.

8 STAFF CONSIDERATIONS

- 8.1 Informal dialogue will be undertaken with the trade unions and staff in order to flag up potential areas where staff may be placed at risk of redundancy. The potential number of redundancies as a consequence of these proposals being accepted is 1. There is one retirement involved (confirmed by the member of staff) and two members of staff who have requested reductions in their working hours. A vacancy will not be filled in one area but there will be some development and enhancement for the remaining team.

9 RECOMMENDATIONS

- 9.1 It is recommended to proceed with the proposals as outlined above.

10 REASONS FOR RECOMMENDATIONS

- 10.1 The review forms part of the 2013/14 Savings Programme, as set out in the Medium Term Financial Strategy 2013/14 to 2016/17 report to Cabinet on 17th December 2012.

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

11.1 Appendix A - Impact Assessment Form

12 BACKGROUND PAPERS

12.1 There are no background papers with this report.

13 CONTACT OFFICER

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Impact Assessment Form

Department	Division	Section	Owner/Officer																		
<i>Regeneration & Neighbourhoods</i>	<i>Resources</i>	<i>Resources</i>	<i>Graham Frankland</i>																		
Function/ Service	<p><i>Resources</i></p> <p><i>Changes proposed to address the budget deficit and achieve targets set within the resources.</i></p> <p>Property Management - Proposal for energy savings from reduced consumption as a result of energy saving measures.</p> <p>Support Services - Proposal to combine existing support functions with a post in Public Protection, make small reductions in various non staffing budgets, decrease Service Development resources through the voluntary reduction of hours by a member of staff and through the removal of one post from the structure.</p> <p>Building Design and Management - Proposal to combine technical / surveying staff and consequential number of staff through a retirement (linking work on DFG / DPAs in Housing Services)</p> <p>Procurement - Proposal to not replace a member of staff who has recently left the Authority.</p> <p>Logistics - Use of stores services surplus and additional income through project work and selling of services</p>																				
Information Available	<p><i>Information available that has been used to inform these proposed changes:</i></p> <ul style="list-style-type: none"> <i>Current structures and proposed structures</i> <i>Staffing profiles across all areas</i> <i>Established HR Procedures (Selection criteria is based on objective matters which are not related to any protected groups).</i> <i>Job Descriptions</i> <i>Job evaluation process</i> <i>Formal consultation process with staff and Unions.</i> 																				
Relevance	<table border="1"> <tr> <td>Age</td><td></td></tr> <tr> <td></td><td></td></tr> <tr> <td>Disability</td><td></td></tr> <tr> <td></td><td></td></tr> <tr> <td>Gender Re-assignment</td><td></td></tr> <tr> <td></td><td></td></tr> <tr> <td>Race</td><td></td></tr> <tr> <td></td><td></td></tr> <tr> <td>Religion</td><td></td></tr> </table>			Age				Disability				Gender Re-assignment				Race				Religion	
Age																					
Disability																					
Gender Re-assignment																					
Race																					
Religion																					
<i>Identify which strands are relevant to the area you are reviewing or changing</i>																					

	Sex	
	Sexual Orientation	
	Marriage & Civil Partnership	
	Pregnancy & Maternity - <i>One post will be reduced. One person from the team affected by this proposal is currently on maternity leave and will be provided with full information, communication and consultation in line with Council Policy in order to ensure there is no adverse impact on equality within the team.</i>	
Information Gaps	NONE	
What is the Impact	<i>This Impact Assessment has been carried out at the formative stage and is an integral part of the development of the proposals. Careful consideration has been given to the financial proposals and they are not deemed likely to impact on equality for the workforce. No adverse equality impact has been identified.</i> <i>The profile of affected staff is not significantly different from the overall profile of the service.</i> <i>Support mechanisms are in place to minimise impact on all staff including those identified as at risk and those with protected characteristics.</i> <i>The staff identified as being at risk have been defined by reference to service areas or particular job role and the process does not unfairly target individuals or discriminate against any protected groups. The selection criteria are based on objective matters which are not related to any protected groups.</i>	
Aim 1: <i>Eliminate unlawful discrimination, harassment, victimisation, and any other conduct prohibited by the act.</i>		
<i>No impact</i>		
Aim 2: <i>Advance Equality of opportunity, between people who share protected characteristics and those who don't.</i>		
<i>No impact</i>		
Aim 3: <i>Foster good relations between people who share a protected characteristic and those who do not share it.</i>		
<i>No impact</i>		
Addressing the impact	1. No Major Change - <i>The Impact Assessment demonstrates that the proposed changes are robust and that there is no potential for discrimination or adverse impact on any protected group.</i>	

	2. Adjust/Change		
	3. Continue as is		
	4. Stop/Remove		
Action identified	Responsible Officer	By When	How will this be evaluated?
Date sent to Equality Rep for publishing		00/00/00	

Report of: Director of Regeneration and Neighbourhoods

Subject: SAVINGS PROGRAMME 2013/14 –
TRANSPORTATION AND ENGINEERING DIVISION
OF THE REGENERATION AND
NEIGHBOURHOODS DEPARTMENT

1. PURPOSE OF REPORT

- 1.1 The purpose of the report is to identify the proposals for delivering savings in respect of the **Transportation and Engineering Division** as part of the budget for 2013/14.

2. BACKGROUND

- 2.1 The report details one of the reviews which form part of the 2013/14 Savings Programme.

- 2.2 The proposals in the report identify the savings to be made, the risks associated with these and the considerations which have been taken into account in developing them including consideration of key elements which together comprise SROI.

- 2.3 The services under consideration as part of this report are as follows,

Highways, Traffic and Transport
Integrated Transport Unit
Engineering Design and Management.

- 2.4 Description of Services

Highways, Traffic and Transport are:

Traffic and Transport Services

The Team is responsible for the development and implementation of the Council's traffic policy, thereby maintaining the safe and smooth flow of traffic in Hartlepool, together with achieving a reduction in casualties on the town's roads. The Team also deals with the co-ordination of road works in order to minimise congestion by the implementation of legislation imposed upon the Authority through the Traffic Management Act 2004. It also deals with the development of the traffic signals and controlled crossing network and the licensing of activities that take place on the highway and co-ordination of traffic/transportation responses to planning applications.

Other key roles are to provide a safe and effective transport system that enables equal accessibility and maximum choice. This involves the development, co-ordination and monitoring of a wide range of schemes funded through the Local Transport Plan (LTP), co-ordination of public transport services and information and the encouragement of more sustainable forms of transport through travel planning and promotion.

Parking Services

The Parking Services section is responsible for the enforcement of yellow line offences on the public highway and parking orders covering all car parks and several on-street permit controlled locations. The section manage the resident, visitor, commuter and business contracted parking, together with all pay and display car parks and limited stay sites.

Asset Management

The Asset Management Team is responsible for the management of the highway asset, the identification and prioritisation of highway maintenance works, the overall management of public rights of way, stopping-up and diversion orders and the management of new developments.

Highway Services

The section provides reactive and scheduled maintenance and regeneration services on highways and public lights in Hartlepool. The aim of the section is to maintain the highway network in a manner that enables continuous and safe movement for all modes of transport. The service has five parts:

- the Gulley Service;
- the Highway Inspection Service;
- the Highway Maintenance Service;
- the Street Lighting Service; and
- the Winter Gritting Service.

Integrated Transport Unit (ITU) are:

School Crossing Patrol

School Crossing Patrols were first established by the School Crossing Patrol Act 1953. School Crossing Patrols are provided under the Road Traffic Regulation Act 1984 as amended by the Transport Act 2000. The 1984 Act gives the Council the power to appoint School Crossing Patrols to help children cross the road on their way to and from school, or from one part of the school to another, between specified hours. Section 270 of the Transport Act 2000 amended the aforementioned 1984 Act to permit patrols to operate 'at such times as the Authority thinks fit' to stop traffic to help anyone (child or adult) to cross the road whether or not they are travelling to or from school.

The School Crossing Patrol Service is not a statutory function and the responsibility for ensuring that school children arrive at school remains with parents/guardians.

Collaborative Working

Hartlepool Borough Council has maximised the operation of fleet vehicles in order to provide both core services and extended opportunities to schools, colleges and educational sites, additional Local Authorities and Health Trusts. The programme offers cost effective transport to a range of establishments and generates income to support further development.

The integration of services allows the Council to reduce the amount of time that vehicles are not used during the day. Each service is supported by Transport Officers to encourage efficient use of the integrated services available.

Income surplus is used to compensate existing budget areas, replacing existing budget with trade income. This ensures that services can continue without the need for a centralised budget. It is important to note that the income must be sustainable in order to ensure the initiative is fully effective.

Service Users

The range of services covered by this report are Schools, Colleges, Local Authorities, Health Services, general public and business.

Highways Design and Management

Civil Engineering – This team provides a service to a number of clients that includes the Transport and Engineering Division, Resources Division, and Regeneration and Planning Division.

The works carried out includes feasibility studies, site investigations, detailed design, traffic engineering, preparation of contract documents including tendering process, contract management including site supervision and financial control of projects, procurement of goods / services and the management of consultants including the preparation of briefs.

Structural Engineering

This team provides a service to a number of clients that includes Transport and Engineering Division, Resources Division and Children's Services. In addition, this team has client responsibility for the ongoing maintenance of all highway structures in the town.

The works carried out includes feasibility studies, site investigations, detailed design, preparation of contract documents including tendering process, contract management including site supervision financial control of projects, procurement of goods / services, the management of consultants including the preparation of briefs, dealing with dangerous structures and the checking of submitted building regulation structural calculations.

Environmental Engineering

This team provides a service to a number of clients that includes Technical Services Division, Resources Division and Children's Services Department and Hartlepool Revival. In addition, this team has client responsibility for contaminated land, coast protection, land drainage, closed landfill sites and advice on planning applications in these work areas. This client based work includes the production and implementation of high level policy documents covering all of these client activities.

The works carried out includes demolition work, feasibility studies, site investigations, detailed design, preparation of contract documents including tendering process, contract management including site supervision, financial control of projects, procurement of goods / services and the management of consultants including the preparation of briefs.

2.5 Engagement

Feedback from service users is obtained in a number of different ways and this is often determined by the type of service, the target audience, the way in which it is delivered. Examples include,

- Satisfaction questionnaires
- Regular progress meetings
- Attending Neighbourhood Forums
- Transport Champions Group
- Transport Liaison Group

2.6 Inputs

Highways, Traffic and Transportation

Service specific	Highways, Traffic & Transportation	£526,000
	Winter Maintenance	£259,000
	Scheduled Highway Maintenance	£120,000

Integrated Transport Unit

Service specific	Passenger Transport	£79,000
	ITU Management	£63,000
	Road Safety (school crossing patrols)	£181,000

Engineering Design & Management

Service specific

£35,000

2.7 Outputs

- Delivery of integrated transport associated services.
- Delivery of Local Transport Plan, incorporating design, management and maintenance of network.
- Income generation from external organisations.

2.8 Savings Target

The savings target for the Regeneration and Neighbourhoods Department is £1,048,000 for the financial year 2013/14. The approach taken within the department has been not to apportion specific percentage targets to each division/section, but to look at options emerging from across the department in a more structured manner in order to achieve the overall target.

3.0 PROPOSALSHighways, Traffic & Transportation

Deletion of a Management post within Asset Management creating a saving of £34,000. This post will be deleted 'in year' (September 2013) to allow appropriate handover and training to the remaining Asset Management staff. This will minimize any likely negative impact on service delivery.

Cessation of dedicated verge signage enforcement function. This will achieve a saving of £10,000. Presently the enforcement function is carried out by the Neighbourhood Services Division on behalf of the Transportation and Engineering Division. Giving up this budget will determine the need for a more collective responsibility from supervisory staff across both Divisions in relation to reporting illegal signage on the network. The risks are therefore low in negative terms.

Reduction of £25,000 from the existing winter maintenance budget. Improvements to existing and additional asset renewal programmes have ensured better and more reliable equipment for the future. This should reduce the need for maintenance of same assets for the foreseeable future therefore reducing spend. Investment in back-up machinery and plant should also assist in reducing operational costs.

Integrated Transport Unit (ITU)Collaborative working

Initial discussions with neighbouring authorities has highlighted a desire for joined up working with the Integrated Transport Unit, in particular, the area of

passenger transport with Darlington Borough Council and Redcar & Cleveland Council.

The ITU has been tasked with achieving a target income of £50,000 in this area for the 2013/14 period. As with any collaborative venture, there is always an element of risk in not achieving desired outcomes. To ensure the Council meets this target the agreed sum will be removed from the ITU Management budget provision therefore ensuring the target is achieved and found from baseline budget. Income, as and when generated will then be set against the budget reduction therefore creating a balance.

Health Partnership

Stage 1 discussions with the Health Trusts and broader health sector within Tees Valley are nearing completion and opportunities for income generation are now being negotiated. A target income receipt of £50,000 has been set for the ITU and as described in collaborative working narrative, any risks in not achieving this target will be borne by the overall ITU budget provision.

School Crossing Patrol Service

Initial proposals suggested the removal of staff at those crossing sites already serviced by controlled crossing systems i.e. Puffin light controlled.

The management team of road Safety, have devised a scheme which will ensure a full service continues therefore reducing the need for staff redundancies.

The full service will be retained by administering the following key tasks:

- Each crossing point will be profiled in terms of risk rating based on other safety features e.g. light controlled, zebras, traffic calming, 20 mph zones etc.
- Each site will be rated against national establishment criteria – level of use, volume and speed of vehicles.
- Each site will be given a red, amber and green risk rating and a priority rank for coverage in the event of sickness.
- When sickness occurs staff will be expected to cover a higher priority site (red) from their own lower risk (green) site. This typically will involve staff moving from a light controlled crossing (green rating) to a higher priority site.
- The benefit of adopting a rating system is that those sites with the greatest risk will always be covered.
- All sites and staff will be reviewed with a view to locating staff closer to their own homes, and employing staff on lower risk crossings on fixed term stand-by contracts to cover for absence at higher risk sites.

This option ensures that HBC budgets for the service received and reduces the need to pay for any additional casual staff to cover sickness which currently occurs. The added benefit of adopting this model is that all occupied

sites would be budget to reflect this. The ITU will offer every school the opportunity to have a member of staff suitably trained to cover sites in extreme circumstances. This will include regular refresher training and full SCP uniform. This proposal will also reduce the need to recruit staff into the service to cover on a casual basis which proves to be difficult. This option would result in year 1 efficiency savings without the need to reduce the service formally (£17k). A further £18k will be achieved through service income (£8k) and £10k on sites no longer required.

Engineering Design and Management

Specialisms in this technical area have enabled opportunities for income generation across a wide area of function responsibilities.

A target of £50,000 has been levied on the section and should be achieved by the continuation of additional external contracts over the 13/14 period.

Total **£254K**

Impact of Proposals

The savings rely upon the generation of income from external bodies within an already pressured environment. Reduced resources will require a flexible approach to workloads and operational demands. Schools and other client/customers will require continued dialogue and careful marketing strategies will be paramount if we are to be successful in attracting new business.

Reduction of staffing within the Highways Asset Management team will be covered by a re-organisation of workload and priority process mapping of functions.

Collaborative working should lead to better efficiencies and shared service provision including the promotion of combined ICT provision.

4.0 OPTIONS ANALYSIS

4.1 Various options have been explored across all of the service areas of the Division including:-

- Cessation of some transport services of the ITU, this however is not recommended as the unit is in a gradual growth trend for external works and vehicle acquisitions will require a return from income to enable spend profiles to be achieved.
- Direct cuts to service provision would be detrimental to any collaborative or partnership working progression therefore no further reduction on the transport provision was justified.
- Removal completely of staff from controlled crossing sites is always a potentially sensitive issue. Although the service is not a statutory service there is still a perceived requirement by some for full service provision. The Road Safety Management team has investigated the potential for sponsorship from the private sector and the schools taking ownership but very little positive feedback has transpired to date. The new service function proposals will ensure a service remains for the 13/14 period and continual dialogue will be held with any potential sponsor and schools.

5.0 RISK IMPLICATIONS

5.1 There are a number of risks implicit in the delivery of any package of savings and it is important to recognise these as part of any decision making. A summary of the risks considered as part of the proposals has been identified below:

- Increased pressure on frontline staff and management
- Potential for income generation – contribution and new opportunities
- Balance of workload versus fee earning potential
- Potential reduced effectiveness
- Loss of expertise and internal technical support generally and to key projects and programmes in particular.

6.0 FINANCIAL CONSIDERATIONS

6.1 The Savings Programme 2013/14 is planned to deliver total savings of £3.8m towards the budget deficit for 2013/14. It has been highlighted in previous reports to Cabinet that failure to take savings identified as part of the Savings Programme will only mean the need to make alternative unplanned cuts and redundancies elsewhere in the Authority to balance next year's budget.

6.2 The proposals deliver the following proposed savings:-

Service	Proposed Savings
Engineering Design & Management	£50,000 (income)
ITU – collaborative working	£50,000 (income)
ITU – partnership with Health	£50,000 (income)
Highways Asset Management	£34,000
Highways verge signage	£10,000
Highways winter maintenance	£25,000
School crossing patrol(re-configuration)	£35,000
Total Proposed Savings	£254,000

This section should also include an assessment of the potential costs of delivering the savings e.g. redundancy and other costs and relate to the section below on staffing implications

7.0 EQUALITY AND DIVERSITY CONSIDERATIONS

7.1 **Appendix 1** outlines the impact assessment for each of the areas within the report.

8.0 STAFF CONSIDERATIONS

8.1 Dialogue will continue with Trade Unions and staff to ensure any areas of risk or change are highlighted.

8.2 The impact in relation to redundancies is minimal within these proposals and discussions have already taken place with the staff and the Council's HR department/section management.

8.3 No other staff members are subject to compulsory redundancies within the proposals.

9.0 COMMENTS FROM SCRUTINY REVIEW

- 9.1 The savings were discussed at the Neighbourhood Services Scrutiny Forum on the 14th November

“iii) Transport and Engineering Division Savings

Members were supportive of the savings proposals and income generation activities, particularly the potential to provide direct services for health partnerships.”

10.0 RECOMMENDATIONS

- 10.1 It is recommended to proceed with the proposals as outlined in the report.

11.0 REASONS FOR RECOMMENDATIONS

- 11.1 The review forms part of the 2013/14 Savings Programme, as set out in the Medium Term Financial Strategy 2013/14 to 2016/17 report to Cabinet on 11th June 2012.

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

- 12.1 Impact Assessment forms.

13.0 BACKGROUND PAPERS

- 13.1 There are no background papers to this report.

14. CONTACT OFFICER

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APPENDIX 1

Impact Assessment Form

Department	Division	Section	Owner/Officer	
<i>Regeneration and Neighbourhoods</i>	<i>Transportation and Engineering</i>	<i>Highways, Traffic and Transport</i>	<i>Mike Blair</i>	
Function/Service	<i>Winter Maintenance</i>			
Information Available	<i>Winter Maintenance Service Plan- No impact on service provision, savings established through operational efficiencies</i>			
Relevance	Age	No		
<i>Identify which strands are relevant to the area you are reviewing or changing</i>	Disability	No		
	Gender Re-assignment	No		
	Race	No		
	Religion	No		
	Gender	No		
	Sexual Orientation	No		
	Marriage & Civil Partnership	No		
	Pregnancy & Maternity	No		
	Information Gaps	<i>None</i>		
	What is the Impact	<i>No impact service will be maintained in its entirety</i>		
	Addressing the impact	1. No Impact - No Major Change Service delivery will be maintained at the same levels, savings will be achieved through operational <i>efficiencies</i> 2. Adjust/Change Policy- N/A 3. Adverse Impact but Continue as is N/A 4. Stop/Remove Policy/Proposal- N/A		
	Action identified	Responsible Officer	By When	How will this be evaluated?
Date sent to Equality Rep for publishing				
Date Published				

Date Assessment Carried out	
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Impact Assessment Form

Department	Division	Section	Owner/Officer	
<i>Regeneration and Neighbourhoods</i>	<i>Transportation and Engineering</i>	<i>Highways, Traffic and Transport</i>	<i>Mike Blair</i>	
Function/Service	<i>Scheduled Highway Maintenance contribution to Highway Enforcement</i>			
Information Available	<i>£10k contribution to enforcement of illegal signage positioned on the public highway. Reduction in contribution will not effect service provision</i>			
Relevance	Age	No		
<i>Identify which strands are relevant to the area you are reviewing or changing</i>	Disability	No		
	Gender Re-assignment	No		
	Race	No		
	Religion	No		
	Gender	No		
	Sexual Orientation	No		
	Marriage & Civil Partnership	No		
	Pregnancy & Maternity	No		
	Information Gaps	<i>None</i>		
	What is the Impact	<i>No impact as service will not be affected</i>		
	Addressing the impact	1. No Impact - No Major Change - <i>No change to service</i> 2. Adjust/Change Policy- N/A 3. Adverse Impact but Continue as is N/A 4. Stop/Remove Policy/Proposal- N/A		
	Action identified	Responsible Officer	By When	How will this be evaluated?
Date sent to Equality Rep for publishing				
Date Published				
Date Assessment Carried out				

Impact Assessment Form

Department	Division	Section	Owner/Officer		
<i>Regeneration and Neighbourhoods</i>	<i>Transportation and Engineering</i>	<i>Highways, Traffic and Transport</i>	<i>Mike Blair</i>		
Function/Service	<i>Highway Asset Management</i>				
Information Available	<i>Savings attributable to voluntary redundancy of one post, replacement with existing member of staff and removal of their post from structure</i>				
Relevance	Age	No			
<i>Identify which strands are relevant to the area you are reviewing or changing</i>	Disability	No			
	Gender Re-assignment	No			
	Race	No			
	Religion	No			
	Gender	No			
	Sexual Orientation	No			
	Marriage & Civil Partnership	No			
	Pregnancy & Maternity	No			
Information Gaps	<i>None</i>				
What is the Impact	<i>No impact</i>				
Addressing the impact	1. No Impact - No Major Change - Service will continue to be provided with fewer staff				
	2. Adjust/Change Policy - N/A				
	3. Adverse Impact but Continue as is - N/A				
	4. Stop/Remove Policy/Proposal - N/A				
Action identified	Responsible Officer	By When	How will this be evaluated?		
Date sent to Equality Rep for publishing					
Date Published					
Date Assessment Carried out					

Impact Assessment Form

Department	Division	Section	Owner/Officer
Regeneration and Neighbourhoods	Transportation and Engineering	Integrated Transport Unit	Alastair Smith
Function/Service	To provide an integrated transport service for the community of Hartlepool including services relating to fleet, passenger transport and road safety		
Information Available	<p>To maximize the operation of fleet vehicles in order to provide both core services and extended opportunities to schools, colleges, and educational sites, additional Local Authorities and Health Trusts</p> <p>Income surplus will be used to support the target efficiency of £100,000</p> <p>The minor alteration to the School Crossing Patrol Service will provide a further 35k</p> <p>The impact to services is extremely minimal and would not demonstrate significant impact to service users</p>		
Relevance	Age	No	
Identify which strands are relevant to the area you are reviewing or changing	Disability	No	
	Gender Re-assignment	No	
	Race	No	
	Religion	No	
	Gender	No	
	Sexual Orientation	No	
	Marriage & Civil Partnership	No	
	Pregnancy & Maternity	No	
Information Gaps	N/A		
What is the Impact	N/A		
Addressing the impact	1. No Impact - No Major Change		
Action identified	Responsible Officer	By When	How will this be evaluated?
N/A	N/A		
Date sent to Equality Rep for publishing			
Date Published			
Date Assessment Carried out			

CABINET REPORT

3rd December 2012



Report of: Director of Regeneration & Neighbourhoods

Subject: REVIEW OF WASTE MANAGEMENT SERVICES

1.0 TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Key Decision (test (i)/(ii)) Forward Plan Reference No. RN26/12

2.0 PURPOSE OF REPORT

2.1 To confirm changes to the domestic household waste collection service in Hartlepool, which provide savings that contribute to the Council's overall financial strategy for 2013/14.

2.2 The proposals in the report identify the savings to be made, the risks associated with these and the considerations which have been taken into account in developing them.

3.0 BACKGROUND

3.1 At a meeting in October 2011, Cabinet gave approval for the Waste & Environmental Services section to carry out a review of the domestic household waste collection service in Hartlepool. The review featured four key elements:

- i. Changes to the kerbside dry recycling service;
- ii. Use of route optimization technology to increase efficiency of collection rounds;
- iii. Four day working week;
- iv. Suspension of green waste collections during winter months.

3.2 The overall savings target for 2013/14 was set at £400,000.

3.3 Hartlepool Borough Council currently delivers a refuse collection service to around 42,000 households, which involves an alternate weekly collection of residual waste and recyclable waste, including garden waste.

- 3.4 Essentially, the service is delivered over the five working days, Monday to Friday inclusive; however, Saturday collections are also carried out on occasions where there is a Bank Holiday.
- 3.5 The present kerbside dry recycling service is undertaken partly in-house and partly by an external service provider. The external service provider collects paper, cans and glass, along with any textile recyclables, using blue boxes and blue bags. The Council's own service is responsible for collecting plastic and card, along with green waste, in a split bodied vehicle.
- 3.6 The system was introduced in 2005 and at the time was considered amongst the best, with residents being given the opportunity to recycle a high percentage of their domestic household waste. Despite this innovative approach, the system is not without its problems in that segregation of the various waste streams is dependant on residents and their willingness to participate in the scheme. Some receptacles used for the scheme, such as poly bags, are perishable and are often carried away by the wind or 'disappear'. A recent inspection by the Health & Safety Executive also criticised the scheme because of the level of manual handling required. Furthermore, a shift in public support for recycling services has meant the scheme is in need of updating. Indeed, a public consultation exercise carried out in the autumn of 2011 shows there is strong support in Hartlepool for a kerbside recycling service that makes participation easier and encourages residents to recycle more.
- 3.7 A copy of the HSE Audit of the Hartlepool Waste Collection Service is available on request, in the member's library, and on-line. The HSE guidelines 'Collecting, transfer, treatment and processing household waste and recyclables' is available as a background paper.
- 3.8 Further details of the public consultations carried out for the kerbside dry recycling service are also available as a background paper; Transport & Neighbourhoods Portfolio, 10th February 2012.
- 3.9 A soft market testing exercise carried out in 2011 confirmed the likelihood of significant financial savings being achieved by consolidating the two currently separate dry recycling elements of the kerbside collection service, and delivering the one service through an external service provider. Accordingly, a contract tender was prepared in the summer of 2012, which took account of the required changes. The tender attracted the interest of twelve external service providers and of these twelve; seven were invited to tender (ITT). Four tenders were returned by the closing date of 5th October 2012.
- 3.10 Following the subsequent evaluation process, the contract was awarded to the successful bidder after it was confirmed the savings target of £400,000 could be achieved by externalizing the service in this way. The savings are illustrated in the table at 7.2 below.

- 3.11 Further details of the contract evaluations for the Kerbside Dry Recycling contract are available as a background paper to this report; Audit Sub-Committee, 5th November 2012.

4.0 PROPOSALS

- 4.1 In order to achieve the target savings of £400,000 for 2013/14, it is proposed that the following changes to the domestic household waste collection service are introduced concurrently on the 1st April 2013:

CHANGES TO THE KERBSIDE DRY RECYCLING SERVICE

- 4.2 The present dual stream service carried out partly by the in-house team and partly by an external contractor, will be consolidated into one. This will be delivered by an external service provider. The contract will run for a period of seven years, commencing 1st April 2013, and will end on March 31st 2020. This coincides with the end of the present residual waste disposal contract with SITA.
- 4.3 As part of the new arrangements, households will be provided with a single 240 litre wheeled bin in which all dry recyclable wastes will be co-mingled and presented, with the exception of glass materials. Glass will be presented separately in the blue box already provided.

USE OF ROUTE OPTIMISATION TECHNOLOGY TO INCREASE EFFICIENCY OF COLLECTION ROUNDS

- 4.4 The Council has used Routesmart software funded by the Regional Improvement & Efficiency Partnership to investigate the use of route optimisation technology and minimise the number of miles travelled on each collection round. By implementing the recommendations of the route optimisation project, it is anticipated that the Council will reduce its carbon footprint and also achieve savings on fuel costs.

FOUR DAY WORKING WEEK

- 4.5 A four day working week, Tuesday to Friday, will bring a range of benefits, including a reduced requirement for Bank Holiday 'catch up' i.e. weekend working. The number of Bank Holiday's where a service is required would effectively be reduced by half, needing only to cover Good Friday, Christmas and New Year. This alone would present a significant reduction in overtime payments and extra payments to the waste disposal site at Haverton Hill (SITA) for opening on a weekend.
- 4.6 Downtime that results from the four day working week can be used for vehicle maintenance; thus reducing the need for hire vehicles at approx £250 a day.

- 4.7 All staff affected by the 'four day working week' proposals have been consulted throughout the process and will continue to be kept informed via informal and formal briefings sessions. Trade Unions have also been consulted, and will continue to be informed, on all aspects of the proposed changes.

SUSPENSION OF GREEN WASTE COLLECTIONS DURING WINTER MONTHS

- 4.8 Whilst given consideration as part of the review, suspending the green waste service was likely to be unpopular with residents, as many households take advantage of the opportunity to carry out winter pruning/garden clearance operations during this period; furthermore, such a proposal would have implications for staff involved in delivering the service. However, it is now apparent that the required savings target of £400,000 for 2013/14 has essentially been achieved through other aspects of the review and in particular the dry recycling collection service. It is therefore not necessary at this time to suspend the green waste service during the winter months.

5.0 COMMUNICATION / CONSULTATION

PUBLIC

- 5.1 To ensure that residents are aware of the future changes, an intense and comprehensive communication campaign will be carried out from December 2012 up until the full implementation on the 1st April 2013. This will include direct drop leafleting, use of social media, presentations at public meetings, and drop-in sessions, website, press releases/media, Hartbeat and vehicle advertising. The use of multiple communication methods/techniques will provide several opportunities for members of the public to learn of the changes to their domestic household waste collection service. In addition, when the new receptacles are delivered to each household, information leaflets will be attached outlining the new collection methods and service.
- 5.2 The public consultation exercise will also assist in identifying those households that are unable to store and/or present a co-mingled 240 litre wheeled bin. In situations like this, alternative arrangements will be offered in the way of smaller receptacles or bags.

STAFF

- 5.3 All staff affected by these proposals have been consulted throughout the process and will continue to be kept informed via informal and formal briefings sessions. Trade Unions have also been consulted, and will continue to be informed, on all aspects of the proposed changes.

MEMBERS

- 5.4 Members will receive direct and indirect communications via the proposed communication strategy that will be carried out across the town prior to the introduction of the changes on April 1st 2013.

6.0 RISK IMPLICATIONS

- 6.1 There are a number of risks implicit in the delivery of any package of savings and it is important to recognise these as part of any decision making. A summary of the risks considered as part of the proposals has been identified below:

- 6.1.1 Diversion of extra waste to recycling, as a result of an improved recycling service will impact upon tonnages required under contractual obligations with SITA. However, if the proposed changes realise an anticipated 20% saving in the amount of residual waste being taken to the EfW plant, this will not breach our contractual obligations with SITA.
- 6.1.2 These radical changes may cause some disruption to the service, which in turn could lead to non compliance by residents, whether deliberate or accidental. However, as each of the three proposals would be introduced simultaneously, disruption would be minimised. Formal consultation and communication with residents would ensure that users of the service are aware of the changes, that their views have been taken into account, and that the new improved service will be capable of encouraging increased recycling rates.
- 6.1.3 Non-participation in the kerbside dry recycling scheme could occur in situations where residents are unable to store and/or present a co-mingled 240 litre wheeled bin. In situations like this, alternative arrangements will be offered in the way of smaller receptacles or bags. Records of properties, which may have storage/presentation issues, already exist within the Waste & Environmental Services section; however, the communication strategy associated with the introduction of the new service will assist in identifying other properties where there is a need for alternative solutions.
- 6.1.4 If the Council adopts a system whereby the income it receives from recyclable materials is based on market 'tracker' rates, then the level of income received will also fluctuate. This will present particular problems with budget forecasting. This risk has been eliminated via an upper limit being set for the contract management fee, which is £380,000 per annum, and a lower limit being set for any reimbursement for recyclable waste collected. This lower limit is fixed at £0 (zero pounds), which effectively

means the Council will never pay over and above the fixed management fee for the disposal of recyclable waste collected from the kerbside during the term of this contract.

7.0 FINANCIAL CONSIDERATIONS

- 7.1 The Savings Programme 2013/14 is planned to deliver total savings of £3.8m towards the budget deficit for 2013/14. It has been highlighted in previous reports to Cabinet that failure to take savings identified as part of the Savings Programme will only mean the need to make alternative unplanned cuts and redundancies elsewhere in the Authority to balance next year's budget.
- 7.2 The following table illustrates the positive financial outcomes resulting from changes to the kerbside dry recycling service:-

Current			Proposed		Savings
	Service Area	Budget	Service Area	Proposed Costs	
Contracted	Kerbside Collection (blue boxes)	£ 410,000.00	All Dry Recyclable Materials	£380,000.00	£30,000.00
In House	Kerbside Collection \ Green Waste (White Bag\ Brown Bin)	£ 724,391.00	Green Waste (brown bin)	£354,391.00	£370,000.00
TOTAL		£1,134,391.00		£734,391.00	£400,000.00

PRUDENTIAL BORROWING FOR THE PURCHASE OF BINS

- 7.3 As part of the proposals to consolidate the two currently separate dry recycling elements of the kerbside collection service, and deliver this service through one external service provider, it will be necessary for the Council to provide suitable receptacles for each household. This will involve the purchasing of circa 42,000 240 litre wheeled bins in which residents will place all dry recyclable waste material, with the exception of glass. Glass items will be presented separately in the blue box currently provided by the Council. It should be noted that any replacement/additional boxes will be provided entirely at the contractors expense for the duration of this contract.
- 7.4 The cost of the new wheeled bins can be initially financed from the existing wheeled bin leasing budget, and the procurement of the bins can be progressed using the normal purchase agency arrangements for leases.

However, it may be possible to achieve further savings by undertaking an options appraisal of the financing options, including Prudential Borrowing. The preferred financing option will be considered as part of the 2013/14 MTFS and approval for any borrowing sought from Council in February, if required.

DELIVERY OF WHEELED BINS

- 7.5 The logistics of rolling-out the proposed 240 litre wheeled bin to circa 42,000 households will require precise coordination. The receptacles are stacked for ease of transportation and therefore require assembling on site. The cost of delivering and assembling the receptacles town-wide will be circa £52,000 and this will be funded from the underspend on the 2012/13 Waste Management Revenue Budget.

PUBLIC COMMUNICATION

- 7.6 The costs associated with the public communications described in section 5.1 above will be absorbed within the Waste & Environmental Services staffing levels and budgets.

8.0 LEGAL CONSIDERATIONS

- 8.1 Section 45a of the Environment Protection Act and the Household Waste Recycling Act states that Local Authorities must provide a separate collection of at least two recyclates by December 2010 this is reinforced in the Waste Regulations 2011, sections 8 and 11. The above proposals will continue to meet these requirements.

9.0 STAFF CONSIDERATIONS

- 9.1 All staff affected by these proposals have been consulted throughout the process, and will continue to be kept informed via informal and formal briefings sessions. Trade Unions have also been consulted, and will continue to be informed on all aspects of the proposed changes.
- 9.2 Natural wastage has reduced staffing levels by three, meaning no compulsory redundancies will be necessary as a result of these changes, and it will not be necessary for any member of staff to transfer to the external service provider under TUPE regulations.
- 9.3 As savings have been achieved through the dry recycling contract, suspension of the green waste collection service during the winter months will not be necessary; therefore, the current level of service will be maintained and staff will remain on 52 week contracts instead of the originally proposed 40 weeks.

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

- 10.1 There are no section 17 considerations associated with the proposed changes to the domestic household waste collection service.

11. EQUALITY AND DIVERSITY CONSIDERATIONS

- 11.1 An Impact Assessment has been undertaken in relation to the proposed changes to the domestic household waste collection service. A copy of the Impact Assessment is available on request, in the member's library, and on-line.

12. RECOMMENDATIONS

- 12.1 It is recommended that the following changes, which allow for a more efficient and cost effective waste management service in Hartlepool are introduced concurrently on the 1st April 2013:
- a) The Council consolidates its two currently separate dry recycling elements of the kerbside collection service, and delivers the service via one external service provider. In doing so, it is proposed that the Council provides residents with a 240 litre wheeled bin for co-mingled dry recyclable waste, to accompany the 55 litre blue box already in service; this will be used for glass materials.
 - b) Changes to collection rounds are introduced under the route optimisation programme as detailed in section 4.4 above.
 - c) A four-day working week, Tuesday to Friday inclusive, is introduced as detailed in section 4.5 above.
 - d) Essentially, the required savings target of £400,000 for 2013/14 has been achieved through consolidating the dry recycling elements the kerbside collection service. It is therefore not necessary at this time to suspend the popular green waste collection service during the winter months and accordingly no changes are proposed. However, this element of service could be a consideration in any future financial planning/strategic exercise.

13. REASONS FOR RECOMMENDATIONS

- 13.1 The changes to the waste management service form part of the 2013/14 Savings Programme, as set out in the Medium Term Financial Strategy 2013/14 to 2016/17 report to Cabinet on 11th June 2012.

- 13.2 Essentially, the consolidation of the kerbside dry recycling service will deliver the 2013/14 savings target; however, the proposed changes also reflect the wishes expressed by residents in the public consultation exercise. Furthermore, the proposed changes also provide a solution to concerns shown by the HSE in a recent audit of the Council's refuse collection service.
- 13.3 By implementing the recommendations of the route optimisation project, it is anticipated that the Council will reduce its carbon footprint and also achieve savings on fuel costs.
- 13.4 The four-day working week will bring Hartlepool in line with the rest of the Tees Valley authorities. This compatibility will provide greater scope for future collaborative working with neighbouring authorities.
- 13.5 The green waste, or garden waste, collection service is a favourite with residents and whilst the tonnages collected during the winter months may reduce, many people take advantage of the opportunity to carry out winter pruning/clearance operations. As such, any suspension of the service during the winter months is likely to be unpopular.
- 13.6 Non-suspension of the green waste service during the winter months will ensure staff delivering the service retain a full 52-week employment status.

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

- 14.1 HSE Audit of the Hartlepool Waste Collection Service (**Appendix A**)
- 14.2 Impact Assessment (Changes to the Domestic Household Waste Collection Service) (**Appendix B**)

15. BACKGROUND PAPERS

- 15.1 Cabinet report of October 2011 – Review of Waste Management Services.
- 15.2 WYG Environment report - 'Review of Kerbside Recycling Collection Schemes in 2010/11
- 15.3 HSE guidance - 'Collecting, transfer, treatment and processing household waste and recyclables.
- 15.4 Transport & Neighbourhoods Portfolio, 10th February 2012 – Findings of the Kerbside Dry Recycling Consultation.
- 15.5 Audit Sub Committee report, 5th November 2012 – Kerbside Dry Recycling Contract.

16. CONTACT OFFICER

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17. FURTHER INFORMATION

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HM Principal Inspector
Bruno Porter

15 April 2011

Reference 4241356

Dear Mrs Ogden

HEALTH & SAFETY AT WORK ETC. ACT 1974

Re: Waste management and recycling intervention

I write following my attendance at the meeting held at The Civic Centre with Craig Thellwell, Fiona Srogi and Stuart Langston on 2 February, and my subsequent visits to observe municipal waste collection with Tony Spence on 8 March.

As a result of these visits, I have identified the following matters which require further attention.

1. Reversing Assistants

Reversing causes a disproportionately large number of moving vehicle accidents in the waste/recycling industry. Injuries to collection workers or members of the public by moving collection vehicles are invariably severe or fatal.

Hartlepool Borough Council currently use reversing assistants as one of the ways in which this risk is controlled. HSE's guidance '*Waste and recycling vehicles in street collection (WASTED04)*' identifies the roles of the reversing assistant as to:

- a) Signal the collection vehicle driver to stop when necessary to prevent the vehicle colliding with pedestrians and other road users;
- b) Warn approaching vehicles or pedestrians; and
- c) Assist trained and competent drivers to safely manoeuvre the vehicle.

I noted on several occasions that although the operatives were assisting the driver in the manoeuvre, there was little attention given to the likelihood of vehicles and pedestrians entering the danger zone.

The Council should review its Reversing Assistants training, and monitor how the activity is being carried out in practice.

2. Avoiding school start and finish times

I observed a team carrying out the collection of trade waste at 8.50am around the St. Cuthbert's School area of the town, where there were a number of children walking to school.

You should identify those areas where collections are carried out where there is an increased risk of pedestrian/vehicle interaction, in particular at school start and finishing times. You should then assess whether it would be reasonably practicable to carry out those collections at a more suitable time.

3. Manual Handling of White Sacks

Several operatives raised concerns over the manual handling of the white sacks used to collect plastic and cardboard.

The height required to deposit the contents of these sacks into the collection vehicle is at a level at which the sacks need to be lifted at/above head height.

The Council should assess the musculoskeletal risks associated with this activity and consider reasonably practicable remedial measures.

4. Supervision of contractors

I was made aware that the collection of the recycling boxes was being carried out by external contractors, namely Ward Recycling Limited.

I observed examples of bad practice being carried out by the company's operatives including the collection of containers from far side kerb, lack of high visibility clothing and the driver leaving the vehicle on to the road.

Representations were made by your employees that they rarely see management from Wards Recycling Limited monitoring the work being carried out by their own workforce.

As the client, you should liaise with the contractor to:

- a) Determine if supervisors' roles are clearly defined
- b) Determine if supervisors are aware of their duties and exercise them
- c) Collate evidence that the contractor monitors effectiveness of supervision

5. Auditing of contractors by the client

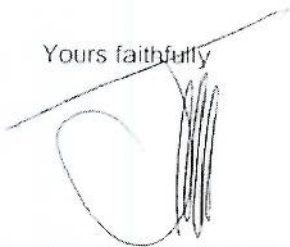
You should review how the Council audit its external contractors and consider the implementation of an on-the-ground monitoring regime, run either independently or in conjunction with your contractor, to ensure that they are delivering the service to your agreed methods, and to review the continuing suitability of those working methods.

Guidance for local authorities on the procurement, management, and monitoring of waste contracts/services can be found on the HSE website at <http://www.hse.gov.uk/waste/services/index.htm>.

I have enclosed a second copy of this letter which should be brought to the attention of your employees.

Please contact me in writing before the 15 May 2011, with how you intend to address the matters raised in this letter.

Yours faithfully

A handwritten signature in black ink, consisting of a large, stylized 'J' followed by several vertical strokes.

Jonathan Colin Wills
HM Inspector of Health and Safety

Department	Division	Section	Owner/Officer												
Regeneration & Neighbourhoods	Neighbourhood Services	Waste & Environmental Services	Craig Thelwell, Waste & Environmental Services Manager												
Function/Service	Review of the Waste Management Service														
Information Available	<p><i>You should consider what information you hold in order to give proper consideration to the Equality Duty. You will need to draw upon local, regional and national research particularly if internal information is scarce. Include any consultation carried out</i></p> <p>Both the residual waste and recycling services will move from the current 5 day working week (Monday – Friday) to a 4 day working week (Tuesday – Friday). Residual waste collections will otherwise remain the same. Recycling collections, however, will change.</p> <p>The new recycling service is based on findings from a consultation exercise completed by 1,278 residents. The general consensus was that a single wheeled bin with a lid would be more suitable than the current collection system, which utilises a range of containers for various materials. A high number of responses pointed out that a wheeled bin would be more suitable, including:</p> <p><i>'Blue box is often too heavy to carry - could do with something on wheels, also with a cover if possible', and</i></p> <p><i>'A wheelie bin would be more beneficial'.</i></p> <p>Residents with disabilities and some elderly residents may require assisted collections, and the offer of such collections will be offered during awareness raising activities. However, the proposed service will be more user-friendly and will require less strenuous manual handling than the system it will replace.</p> <p>The green waste collection has historically been provided throughout the year. However, tonnages collected during the winter months are minimal, and for this reason a decision has been made to suspend the service from December to February inclusive.</p> <p>Information pertaining to this policy review has been obtained from the following sources: Hartlepool fact file; Profile of customers using the Assisted Collection Service; Statistical information on the waste collection service; National Waste Policy Review .</p>														
Relevance	<table><tr><td>Age</td><td>X</td></tr><tr><td>Elderly people with mobility difficulties</td><td></td></tr><tr><td>Disability</td><td>X</td></tr><tr><td>People with mobility difficulties</td><td></td></tr><tr><td>Gender Re-assignment</td><td></td></tr><tr><td></td><td></td></tr></table>			Age	X	Elderly people with mobility difficulties		Disability	X	People with mobility difficulties		Gender Re-assignment			
Age	X														
Elderly people with mobility difficulties															
Disability	X														
People with mobility difficulties															
Gender Re-assignment															
Identify which strands are relevant to the area you are reviewing or changing															

	Race	x
	People who do not have a good grasp of the English language	
	Religion	
	Gender	
	Sexual Orientation	
	Marriage & Civil Partnership	
	Pregnancy & Maternity	
Information Gaps	<p><i>Are there any gaps in your information and, if so, what further information do you need? What involvement or consultation is needed? How will it be done? You must also ensure compliance of any third parties which carry out functions on your behalf.</i></p> <p>The new service will apply to the entire community, which will need to be made aware of what will be involved, and how they are expected to participate. A comprehensive awareness raising programme will be undertaken, whereby representatives from the Waste & Environmental Services section will visit community groups and tenants and residents association meetings to present the new service and offer question and answer sessions. Information will also be posted to every household and articles placed in the Hartlepool Mail and on the Council's website.</p> <p>All literature that is produced will need to have clear illustrations showing what can be recycled and how to do it. This will ensure that those who are illiterate, and/or those who cannot speak/read the English language are able to participate in the service. The new service will be simpler than the current service, and a single receptacle will replace the range of containers currently used for dry recyclables.</p>	
What is the Impact	<p><i>Consider the impact of the policy/service/function in respect of the three aims of the Equality Duty, this must form an integral part of your decision making process and in such a way that influences the final decision.</i></p> <p>Residents must understand the new service in order to be able to participate. If residents do not understand the new service then they will not be able to dispose of their waste, which will have an impact on their health and wellbeing, and also on that of their neighbours. As the new service will be simpler for residents to understand and use, it is anticipated that it will have a positive impact on groups with protected characteristics.</p> <p>If residents are not using the waste service, then there may well be an impact on the appearance of their property and/or area. This could potentially cause tensions within communities.</p> <p>It is anticipated that less residents will require assisted collections as a result of the introduction of a single, easier to handle, wheeled bin.</p>	

	Residents who participate in the green waste collection service will be affected during the Winter months (December to February). However, it is clear that very little green waste is produced during this period, and it is anticipated that residents will either store the waste, place it in the residual waste bin, compost it at home (subsidised compost bins are available to Hartlepool residents) or transport it to the Household Waste Recycling Centre. All residents are therefore able to deal with green waste, regardless of whether or not they have their own vehicle.		
Addressing the impact	<i>The outcome of the impact assessment may be one or more of the following four outcomes; You must clearly set out your justification for the outcome/s.</i>		
	1. No Impact- No Major Change - <i>It is clear that there is no potential for discrimination or adverse impact on the above Protected Characteristics. All opportunities to promote Equality have been taken and no further analysis or action is required.</i>		
	The new simpler service will make it easier for all members of the community to recycle.		
	The green waste service will be suspended during the Winter months, but the small amount of green waste collected during this period will either be stored until Spring, placed in the residual waste bin, or transported to the Household Waste Recycling Centre. Either way, all householders have a viable option for dealing with green waste.		
	2. Adjust/Change Policy - <i>You may have to make adjustments to address potential problems or missed opportunities that impact adversely on those with protected characteristics.</i>		
	3. Adverse Impact but Continue - <i>Your decision may be to continue without making changes, this may be the right outcome even if your assessment identifies the potential for adverse impact. (E.g. Cabinet decision to withdraw a service).</i>		
	4. Stop/Remove Policy/Proposal – <i>Your assessment reveals unlawful discrimination it must be stopped and removed or changed.</i>		
Actions			
It will be useful to record and monitor any actions resulting from your assessment to ensure that they have had the intended effect and that the outcomes have been achieved.			
Action identified	Responsible Officer	By When	How will this be evaluated?
Provide information on the new service to all households within the borough.	Craig Thelwell	31 st March 2013	Number of households receiving information leaflet
Offer presentations	Craig Thelwell	31 st March 2013	Letters will be sent to all relevant groups

and Q&A sessions to all community groups and tenants & residents associations			

Date sent to Equality Rep for publishing	00/00/00
Date Published	00/00/00
Date Assessment Carried out	00/00/00

Report of: Chief Executive

Subject: SAVINGS PROGRAMME 2013/14 - CHIEF
EXECUTIVE'S DEPARTMENT 2013/14
SAVINGS PLAN

1. TYPE OF DECISION / APPLICABLE CATEGORY

1.1 Non Key Decision.

2. PURPOSE OF REPORT

2.1 The purpose of the report is to identify the proposals for delivering savings in respect of the Chief Executive's Departmental Savings Plan as part of the budget for 2013/14.

3. BACKGROUND

3.1 The report details one of the reviews which forms part of the 2013/14 Savings Programme.

3.2 The proposals in the report identify the savings to be made, the risks associated with these and the considerations which have been taken into account in developing them including consideration of key elements which together comprise SROI.

3.3 As detailed in previous Medium Term Financial Strategy (MTFS) reports there are two aspects to the 2013/14 savings plan for the Chief Executive's department.

3.4 The first element relates to the ICT procurement exercise which is currently underway. As detailed in previous reports this is a complex process and work is currently progressing to put in a place a new contract commencing in October 2013. This will enable a part year saving to be achieved in the current year and a full year saving from 2014/15. The first phase of this procurement was completed on 2nd November 2012 when 8 companies submitted their PQQ (Pre Qualification Questionnaire) documents. These proposals are currently being assessed with the aim of producing a shortlist of companies to move on to the next stage of the procurement process. Based on progress to date and the detailed timetable which is in place for managing this procurement it is anticipated that the overall timetable for achieving the ICT procurement savings will be achieved.

3.5 The second element of the Chief Executive's departmental 2013/14 saving plan relates to proposed collaboration savings. A savings target

for this area for 2013/14 of £0.2m has previously been set, increasing by £0.5m in 2014/15. Previous reports identified the linkages between this project and the People Services collaboration which will shape the nature, scope and method of delivering corporate support services. As detailed in the main MTFS report on your agenda today the development of detailed proposal for the People Services collaboration is taking longer than initially planned. This position is not wholly unexpected owing to the challenging deadline the three authorities set themselves, the complexity of this service area and the issues which need to be addressed. It is essential that these issues are addressed to ensure that robust, safe and sustainable proposals for People Services collaboration are identified and implemented. In financial terms this risk was identified and the MTFS proposals previously reported to Cabinet included a one-off provision of £0.5m to manage potential temporary delays in the achievement of collaboration savings. As detailed in the main MTFS report it is now recommended that the majority of this amount is allocated to support the 2013/14 budget to allow adequate time to implement People Services collaboration.

- 3.6 These issues have impacted on the Corporate Collaboration project which to a large extent, although not exclusively, is predicated on the People Services collaboration. This position has been recognised and an alternative savings plan for the Chief Executive's department for 2013/14 has been developed. These alternative savings will replace the potential collaboration savings for 2013/14 of £0.2m. It needs to be recognised that these alternative measures are replacement savings and not additional savings as they are coming from the same budgets the proposed collaboration saving would have come from. Nevertheless these alternative proposals are sustainable and therefore replace the Corporate Collaboration savings included in the MTFS for 2013/14. These proposals are detailed in the next section.
- 3.7 The service areas reviewed to identify replacement savings cover the full range of services provided by the Chief Executive's department, which includes support services such as legal, finance, corporate strategy, human resources etc., and services provided directly to the public such as registrars, contract centre, housing and council tax benefit administration etc.

4. PROPOSALS

- 4.1 In line with the savings strategy adopted by the Council over the last two years (2011/12 and 2012/13) the Chief Executive's Department has previously achieved significant savings in these years. Owing to the nature of the Chief Executive's Department the majority of these savings have been achieved by reviewing and reducing staffing structures. Where possible this has been achieved by deleting vacant posts, redeployment or voluntary redundancies/retirement, although it has not been entirely possible to avoid compulsory redundancies.

- 4.2 Achieving further savings on this basis is difficult and this was a key driver for pursuing the Corporate Collaboration project. As this project will not deliver the required savings in 2013/14 alternative proposals have been developed. These proposals achieve the 2013/14 savings target of £200,000 for the Chief Executive's department. The savings proposals for 2013/14 have been designed to have minimal affect on service users. This has been achieved by identifying the majority of savings from reduction in support services and increased income. In addition, temporary savings of £49,000 have been identified for 2013/14. The Chief Executive's departmental 2013/14 savings proposals are set out below.

DESCRIPTION OF PROPOSED SAVING	VALUE OF SAVING £'000
PERMANENT SAVINGS	
<u>Democratic Support Services and Corporate Strategy</u> Permanent removal of staffing budgets to reflect approved flexible working patterns of staff who work reduced hours. This can be achieved by changing working arrangements and will not require any compulsory redundancies.	11.5
<u>Public Relations Team</u> Increased income from the provision of PR services to external organisations including securing a three-year contract to provide public relations support to Cleveland Fire Brigade and retained a similar contract with Wynyard Business Park. In addition a new service level agreement has been reached with the Cleveland Road Safety Partnership and the vast majority of Hartlepool schools are buying back the public relations resilience service.	15.0
<u>Support Services</u> As part of the ongoing review of resources within Support Services within the Chief Executives department it would be proposed that a vacant post be deleted and a development scheme implemented for a number of those posts currently on a lower grade to provide for progression and development of staff in the context of the services provided.	10.0
<u>Finance and Accountancy</u>	134.0

<p>These services were centralised in April 2010 and significant staffing savings were achieved. No savings were made in this area in 2012/13 to enable these changes to be embedded. A number of posts became vacant during the summer. Therefore, a detailed assessment of workloads and working practices, including increased use of IT and the operational benefits of these services being centralised has been completed. This has identified scope to achieve additional permanent savings by restructuring services. The majority of this saving will be achieved by deleting 4 fte posts (3 of which are currently vacant) and the permanent removal of staffing budgets to reflect approved flexible working patterns of staff who work reduced hours. These can be achieved by changing working arrangements. It is anticipated the changes will require one compulsory redundancy.</p>	
<p><u>Procurement savings</u></p> <p>Reduced printing costs arising from the replacement of a colour Council Tax leaflet with a black and white leaflet and more competitive prices for a range of printing requirements (£15,000).</p> <p>An Insurance Procurement saving was included in the 2012/13 MTFS based on claims experience in previous years. This assessment has been updated to reflect experience in 2012/13 and a further saving is anticipated to be achievable in 2013/14 (£4,500).</p>	19.5
<p><u>Revenues and Benefits increased income</u></p> <p>Contribution from Business Improvement District (BID) scheme towards administration costs directly related to running this scheme.</p>	5.0
<p><u>Legal and Members Services</u></p> <p>Reduction in legal advertising and courses budget. Reduction in Members Services overtime budget.</p>	5.0
Permanent Savings	200.0
Temporary Savings	
<p><u>Chief Executive saving</u></p> <p>The MTFS forecast reported on 4th October included a permanent savings from the reduction in the Chief</p>	34.0

<p>Executive's salary. Following the appointment of the current Chief Executive there will also be a temporary employers pension contribution saving as the current Chief Executive is no longer in the pension scheme and his pension will be based on his previous salary as Director of Regeneration and Neighbourhoods.</p> <p>This saving will continue while the existing officer is Chief Executive, although it will not be sustainable when there is a change in Chief Executive.</p> <p>There will also be temporary savings (£10,000) as the Chief Executive was appointed at the bottom of the revised salary grade.</p>	
<p><u>Human Resources Saving</u></p> <p>The Chief Executive is currently reviewing all departmental structures and will be making recommendations to Cabinet on a proposed structure early in the New Year. In relation to the Chief Executive's department these proposals will need to address issues in relation to the Human Resources function, in particular the shared Head of Human Resources post. Members will recall that when this arrangement was initially entered into a saving of £51,000 was included in the base budget leaving a net budget provision of £51,000. The Chief Executive's review of the structure will address this issue and recommend whether the whole of this budget is needed to replace lost HR capacity and capability, or whether part, or the whole of the remaining budget can be taken as a saving. Until this review is complete existing temporary arrangements will continue. Therefore, for planning purpose a minimum temporary saving of £15,000 can be included in the 2013/14 budget.</p>	15.0
<p>Total savings for 2013/14</p>	249.0

5 OPTIONS ANALYSIS

- 5.1 As indicated earlier in the report the main alternative option for achieving savings in the Chief Executive's department is the potential to collaborate with other authorities. This option continues to be pursued with Darlington and Redcar and Cleveland Council with the objective of identifying proposals for achieving savings from 2014/15. However, owing to the complexities and timescales for completing this work collaboration will not provide savings in this area for 2013/14.

Therefore, the alternative proposals detailed in the previous section have been identified.

- 5.2 When developing the alternative savings proposals the impact of savings made in the last two years was taken into account and a strategic review of areas where further savings could be made in the Chief Executive's department was adopted. As part of this review it was determined to maintain existing resources in the Revenues/Benefits Services and the Contract Centre owing to the impact of Government legislative changes to Re-localise Business Rates and to implement Local Council Tax Support schemes in April 2013. These issues will be extremely challenging and will need carefully managed in 2013/14 to ensure these fundamental changes are implemented successfully.

6 RISK IMPLICATIONS

- 6.1 There are a number of risks implicit in the delivery of any package of savings and it is important to recognise these as part of any decision making. A summary of the risks considered as part of the proposals has been identified below:

- Capacity Risks

A number of the proposed saving reduce staffing capacity by permanently removing vacant posts and/or by removing staffing budgets to reflect reduced working hours. These proposals reduce staffing capacity and it is anticipated this can be achieved by changing working practises, which will mitigate risks.

Capacity within the Chief Executive's department will also be impacted by the range of significant one off projects being undertaken over the next twelve months, including work on a the new ICT contract, the implementation of the local Council Tax Support scheme and work on collaboration. These projects and the normal day to day work of the Chief Executive's department will need to be managed carefully to ensure all outcomes are achieved and risk is managed effectively.

- Income Risks

The savings proposals involving the achievement of income are considered to be sustainable. In the event that any of the income targets are not achieved alternative savings will need to be identified.

7 FINANCIAL CONSIDERATIONS

- 7.1 The Savings Programme for 2013/14 is planned to deliver total savings of £3.8m towards the budget deficit for 2013/14. It has been highlighted in previous reports to Cabinet that failure to take savings identified as part of the Savings Programme will only mean the need to make alternative unplanned cuts and redundancies elsewhere in the Authority to balance next year's budget. The proposed saving for the Chief Executive's department detailed in section are sustainable.

8. STAFF CONSIDERATIONS

- 8.1 Informal dialogue will be undertaken with the trade unions and staff in order to flag up the potential area where staff may be placed at risk of redundancy. The potential number of redundancies as a consequence of these proposals being accepted is 1.

9. CONCLUSION

- 9.1 In advance of progressing with the Corporate Collaboration project officers had continued to manage budgets carefully to identify potential savings which could be implemented as part of this project, which protect services and help avoid the need for compulsory redundancies wherever possible. This proactive approach now provides a range of measures which can be implemented for 2013/14 to replace the forecast collaboration savings in this area.
- 9.2 The adoption of the proposed savings will enable officers to continue to work with the other two authorities over the remainder of 2012/13 and through 2013/14 to achieve the Corporate Collaboration savings target for 2014/15 of £0.5m.

10. EQUALITY AND DIVERSITY CONSIDERATIONS

- 10.1 There are no equality and diversity considerations of the proposed savings as these measures are designed to avoid impact on services by increasing efficiency or by generating income from external organisations.

11. RECOMMENDATIONS

- 11.1 It is recommended that the Cabinet
- i) note the report;
 - ii) approve the 2013/14 savings for the Chief Executive's department detailed in paragraph 4.2.

12. REASONS FOR RECOMMENDATIONS

- 12.1 The review forms part of the 2013/14 Savings Programme, as set out in the Medium Term Financial Strategy 2013/14 to 2016/17 report to Cabinet on 11th June 2012.

13. APPENDICES

- 13.1 None

14. BACKGROUND PAPERS

- 14.1 None

15. CONTACT OFFICER

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FORECAST CAPITAL RESOURCES AND EXPENDITURE COMMITMENTS 2013/14 TO 2015/16

TABLE 1 - FORECAST CAPITAL RESOURCES 2013/14 to 2015/16

Total Resources 2012/13		Forecast Resources 2013/2014				Forecast Resources 2014/2015 (Provisional)				Forecast Resources 2015/2016 (Provisional)			
		Prudential Borrowing	Other Capital Funding	Capital Grants	Total	Prudential Borrowing	Other Capital Funding	Capital Grants	Total	Prudential Borrowing	Other Capital Funding	Capital Grants	Total
£'000		£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
	<u>Supported Service Specific Allocations</u>												
1,410	- Local Transport Plan	0	0	1,351	1,351	0	0	1,547	1,547	0	0	1,547	1,547
1,700	- Schools Capital Programme	0	0	1,700	1,700	0	0	1,700	1,700	0	0	1,700	1,700
258	- Adult Social Services	0	0	269	269	0	0	275	275	0	0	0	0
3,368	Total Supported Service Specific Allocations	0	0	3,320	3,320	0	0	3,522	3,522	0	0	3,247	3,247
	<u>Unsupported Corporate Prudential Borrowing</u>												
0	Council Capital Fund (Table 3)	600	0	0	600	0	0	0	0	0	0	0	0
0		600	0	0	600	0	0	0	0	0	0	0	0
	<u>Unsupported Departmental Prudential Borrowing</u>												
1,615	Stranton Cremators & Lodge	0	0	0	0	0	0	0	0	0	0	0	0
45	Replacement Wheelie Bins	45	0	0	45	45	0	0	45	45	0	0	45
0	CCTV - Replacements with Wireless	115	0	0	115	0	0	0	0	0	0	0	0
0	Recycling Bins*	680	0	0	680	0	0	0	0	0	0	0	0
0	Allotments (Table 4)	227	0	0	227	178	0	0	178	95	0	0	95
1,962	Vehicle Procurement (Table 5)	2,420	0	0	2,420	1,155	0	0	1,155	1,928	0	0	1,928
3,622		3,487	0	0	3,487	1,378	0	0	1,378	2,068	0	0	2,068
	<u>Useable Capital Receipts and RCCO</u>												
628	Schools Capital Programme (Dedicated Schools Grant)	0	628	0	628	0	0	0	0	0	0	0	0
628		0	628	0	628	0	0	0	0	0	0	0	0
	<u>Specifically Funded Schemes</u>												
815	Building Schools for the Future - ICT	0	0	0	0	0	0	0	0	0	0	0	0
433	Disabled Facilities Grant	0	0	433	433	0	0	433	433	0	0	433	433
200	Demolition of Brierton School	0	0	0	0	0	0	0	0	0	0	0	0
0	Aiming High for Disabled Children	0	0	0	0	0	0	0	0	0	0	0	0
244	Devolved Formula Capital (Schools)	0	0	244	244	0	0	244	244	0	0	244	244
0	Two year old Free Nursery Entitlement Capital Allocation	0	0	237	237	0	0	0	0	0	0	0	0
1,000	Council Capital Fund	0	0	0	0	0	0	0	0	0	0	0	0
60	Foggy Furze Site Replace Bowling Facility	0	0	0	0	0	0	0	0	0	0	0	0
125	Central Area Leisure Activities	0	0	0	0	0	0	0	0	0	0	0	0
2,000	Seaton Carew - Coastal Defence (Environment Agency)	0	0	1,800	1,800	0	0	0	0	0	0	0	0
1,200	Town Wall - Coastal Defence (Environment Agency)	0	0	280	280	0	0	0	0	0	0	0	0
0	Headland Structures (Environment Agency)	0	0	80	80	0	0	3,475	3,475	0	0	0	0
0	Block Sands (Environment Agency)	0	0	40	40	0	0	560	560	0	0	0	0
0	Empty Homes (Year 2)	1,572	0	1,348	2,920	0	0	0	0	0	0	0	0
1,794	Tees Valley Bus Network Infrastructure (TVBNI)	0	0	1,269	1,269	0	0	0	0	0	0	0	0
7,871		1,572	0	5,731	7,303	0	0	4,712	4,712	0	0	677	677
15,489	Total Forecast Resources	5,659	628	9,051	15,338	1,378	0	8,234	9,612	2,068	0	3,924	5,992

*New bins have been procured following a review and tender of recycling provision. An appraisal of the financing options for the bins has identified that Prudential Borrowing rather than leasing is the most cost effective solution.

FORECAST CAPITAL RESOURCES AND EXPENDITURE COMMITMENTS 2013/14 TO 2015/16

TABLE 2 - FORECAST CAPITAL EXPENDITURE COMMITMENTS 2013/14 TO 2015/16

Total Resources 2012/13 £'000		Forecast Expenditure Commitments 2013/2014				Forecast Expenditure Commitments 2014/2015 (Provisional)				Forecast Expenditure Commitments 2015/2016 (Provisional)			
		Non-Specific £'000	Scheme Specific £'000	Match Funding £'000	Total £'000	Non-Specific £'000	Scheme Specific £'000	Match Funding £'000	Total £'000	Non-Specific £'000	Scheme Specific £'000	Match Funding £'000	Total £'000
	<u>Specifically Funded Schemes</u>												
815	Building Schools for the Future - ICT	0	0	0	0	0	0	0	0	0	0	0	0
433	Disabled Facilities Grant	0	433	0	433	0	433	0	433	0	433	0	433
244	Devolved Formula Capital (Schools)	0	244	0	244	0	244	0	244	0	244	0	244
0	Two year old Free Nursery Entitlement Capital Allocation	0	237	0	237	0	0	0	0	0	0	0	0
0	Aiming High For Disabled Children	0	0	0	0	0	0	0	0	0	0	0	0
1,000	Council Capital Fund (Table 3)	600	0	0	600	0	0	0	0	0	0	0	0
1,794	Tees Valley Bus Network Infrastructure (TVBNI)	1,269	0	0	1,269	0	0	0	0	0	0	0	0
0	Empty Homes (HCA) Year 2	0	1,348	1,572	2,920	0	0	0	0	0	0	0	0
60	Foggy Furze Site Replace Bowling Facility	0	0	0	0	0	0	0	0	0	0	0	0
2,000	Seaton Carew - Coastal Defence (Environment Agency)	0	1,800	0	1,800	0	0	0	0	0	0	0	0
1,200	Town Wall - Coastal Defence (Environment Agency)	0	280	0	280	0	0	0	0	0	0	0	0
0	Headland Structures (Environment Agency)	0	80	0	80	0	3,475	0	3,475	0	0	0	0
0	Block Sands (Environment Agency)	0	40	0	40	0	560	0	560	0	0	0	0
125	Central Area Leisure Activities	0	0	0	0	0	0	0	0	0	0	0	0
200	Demolition of Brierton School	0	0	0	0	0	0	0	0	0	0	0	0
7,871		1,869	4,462	1,572	7,903	0	4,712	0	4,712	0	677	0	677
	<u>Misc Schemes</u>												
628	Schools Capital Programme (Dedicated Schools Grant)	628	0	0	628	0	0	0	0	0	0	0	0
628		628	0	0	628	0	0	0	0	0	0	0	0
	<u>Unsupported Departmental Prudential Borrowing</u>												
1,615	Stranton Lodge & Cremators												
45	Replacement Wheelie Bins	0	45	0	45	0	45	0	45	0	45	0	45
0	CCTV - Replacements with Wireless	0	115	0	115	0	0	0	0	0	0	0	0
0	Recycling Bins	0	680	0	680	0	0	0	0	0	0	0	0
0	Allotments (Table 4)	0	227	0	227	0	178	0	178	0	95	0	95
1,962	Vehicle Procurement (Table 5)	0	2,420	0	2,420	0	1,155	0	1,155	0	1,928	0	1,928
3,622		0	3,487	0	3,487	0	1,378	0	1,378	0	2,068	0	2,068
	<u>Supported Service Specific Priorities</u>												
1,410	- Local Transport Plan	1,351	0	0	1,351	1,547	0	0	1,547	1,547	0	0	1,547
1,700	- Schools Capital Programme	0	1,700	0	1,700	0	1,700	0	1,700	0	1,700	0	1,700
258	- Adult Social Services	0	269	0	269	0	275	0	275	0	0	0	0
3,368		1,351	1,969	0	3,320	1,547	1,975	0	3,522	1,547	1,700	0	3,247
15,489	Total Forecast Commitments	3,848	9,918	1,572	15,338	1,547	8,065	0	9,612	1,547	4,445	0	5,992

FORECAST CAPITAL RESOURCES AND EXPENDITURE COMMITMENTS 2013/14 TO 2015/16

TABLE 3 - COUNCIL CAPITAL FUND - PROPOSED CAPITAL FUNDING FOR 2013/14

Project	Description	Justification	Estimated cost (£000)
Multi Storey Car Park	Electrical works & rewire	Car parking provision can be maintained, ensuring health and safety	130
Underground Car Park	Electrical rewire	Car parking provision can be maintained, ensuring health and safety	50
Hart Primary School	Boundary wall structural works. Corporate liability	To maintain the asset boundary wall and ensure health and safety and longer term stability (Total Project cost £14k however £6k grant available, £8k net funding required).	8
A689	Highway reconstruction	Detailed condition surveys indicate that a section of the carriageway is now classified as 'red' on the condition survey criteria and requires reconstruction as soon as possible.	100
Children's Home 302 Stockton Road	Contribution to the refurbishment of the new Children's home.	To provide essential facilities in the new home supplementing other funding sources.	59
Maritime Experience	Renew failed LCD track lighting to the Fighting Ships exhibits	LCD floor lighting provides fire exit routes in darkened conditions. Significant areas are out of action	32
Mill House Leisure Centre	Renew main pool circulation and filtration pipe work, strainer boxes, calorifiers and rate of flow instrumentation.	Main pool circulation pipe work is defective. Pool filtration rates are reduced and the swimming pool's water quality is adversely affected.	114
Maritime Experience	Replace anti-corrosion system, dock gate seal and replace old balancing submersible pumps	Water levels in the Trincomalee dock must remain balanced. The Dock gate seal has failed. Anti-corrosion system is required to protect gates and flotation tanks. Existing pumps are in poor condition and running constantly to maintain water levels within the Trincomalee dock.	30
Kitchen works	Further phase of School kitchen upgrades to ensure compliance with statutory obligations and operational requirements.	The kitchens will be modernised to bring them up to current health and safety standards and improve operations and service delivery	200
Hartlepool Enterprise Centre	Building improvements	Modifications and upgrade to the Reception area and 2 business units. These works are required to improve business delivery.	113
		Sub-Total	836
Indoor Bowls Centre	Upgrade external walls, cladding and roofing to maintain integrity and insulation values	The proposed budget allocation for the Bowls Club is included to 'reserve' funding for this scheme pending the assessment of the business case for this scheme. A separate report will be submitted to Cabinet and Council to enable Members to determine if they wish to support this scheme.	200
		Sub-Total	1,036
Unallocated			55
		Total	1,091

FORECAST CAPITAL RESOURCES AND EXPENDITURE COMMITMENTS 2013/14 TO 2015/16**TABLE 4 - ALLOTMENT CAPITAL WORKS PROGRAMME**

Allotment Site	Works Required	2013/14 £000	2014/15 £000	2015/16 £000	Total
Briarfields	Track replacement	10	0	0	10
Brierton	Drainage works	15	0	0	15
	Perimeter fence installation	20	0	0	20
Burn Valley	Water supply replacement	0	0	20	20
Catcote	Drainage works	0	15	0	15
	Water supply replacement	0	15	0	15
Chester Road	Perimeter fence replacement	70	0	0	55
	Water supply replacement	0	25	0	25
Haswell Avenue	Drainage works	0	0	5	5
Nicolson Field	New gates, perimeter fence replacement	100	0	0	100
Station Lane	Track replacement	0	26	0	26
Stranton	Create central car park and barriers	0	0	40	40
	Water supply replacement	0	0	30	30
Thompson Grove	Replacement perimeter fence	12	0	0	12
Thornhill	Improvement to internal tracks	0	64	0	64
	Water supply replacement	0	20	0	20
Throston	Water supply replacement	0	13	0	13
Grand Total		227	178	95	500

The above works will be financed by Departmental Prudential Borrowing with repayment being funded from the additional income arising from allotment rent income increases as approved by the Portfolio holder for Culture & Leisure on 12th January, 2012. This scheme is therefore budget neutral with no impact on the General Fund.

FORECAST CAPITAL RESOURCES AND EXPENDITURE COMMITMENTS 2012/13 TO 2014/15

TABLE 5 - VEHICLE REPLACEMENT PROGRAMME 2013/14 TO 2015/16

TABLE 5(A) 2013/14 VEHICLE REPLACEMENT PROGRAMME

Type	Quantity	Department	£000
15,000kg RCV	2	Waste management	210
26,000kg RCV	2	Waste management	288
3,500kg DC tipper	1	Cleansing	19
3,500kg SC tippers	3	Horticulture	56
	1	Horticulture NA Team	19
	1	Horticulture SA Team	19
	1	NRF - Cleansing	19
6,500kg Box Body	3	Cleansing	150
7,500kg Tipper body	4	Highways	180
Cabin vans	1	Highways	14
	1	Libraries	14
Car	1	Chief Executive	20
Gang Mower	2	Parks	39
15t Gulley Emptier	1	Highways	80
15T 4 x 2 Refuse Vehicle with refurbished Body	2	Waste management	210
Large Bus 68 seats	3	Passenger Transport	420
Large Panel van	1	Sports Development	19
Large Sweeper	1	Cleansing	110
Medium Panel Van	1	Workshop	13
Mobile Education Unit	1	Youth Service	55
Plant - Double Drum Roller	1	Highways	12
Refuse Wagon	1	Waste management	35
Renault kangoo van	1	Community Safety	12
Ride on Mower	5	Horticulture	138
Small Panel van	1	Car parking	12
	1	Chief Executive	12
	2	Cleansing	24
	1	Community Services	12
	1	Public protection	12
Tractor 42hp	2	Horticulture	60
Trailers	2	Highways	14
	1	Highways	7
Contingency 5%			116
			2,420

TABLE 5(B) 2014/15 VEHICLE REPLACEMENT PROGRAMME

Type	Quantity	Department	£000
18,000kg Hookloader	4	Highways	320
18,000kg tipper	1	St Lighting	60
3,500kg SC Dropside	1	Cleansing	22
4x4 pick up	1	Parks & Countryside	15
6,500kg DC Tipper	1	Client Services	38
7,500kg Tipper body	1	Highways	45
Gritter Body	1	Highways	27
Large box van	1	Waste management	25
Medium Panel Vans	3	Mechanical & Engineering	42
	1	Parks & Countryside	14
	1	Housing	14
Minibus 17s	1	Carlton Outdoor Centre	23
Ride on Mower	3	Horticulture	196
Selfdrive flail	1	Horticulture	15
Small Panel Vans	2	Car parking	24
	2	Cleansing	24
	2	Community Services	24
	1	Highways	12
	2	Integrated Transport Unit	24
	4	Mechanical & Engineering	48
	3	Public protection	36
	1	Revenues & Benefits	12
Tractor mount flail	1	Horticulture	20
Tractor mount suction trailer	1	Horticulture	20
Contingency 5%			55
			1,155

FORECAST CAPITAL RESOURCES AND EXPENDITURE COMMITMENTS 2013/14 TO 2015/16**TABLE 5(C) 2015/16 VEHICLE REPLACEMENT PROGRAMME**

Type	Quantity	Department	£000
Ride on Mower	4	Horticulture	64
26,000kg RCV	3	Waste management	495
4x4 parks buggy	1	Parks	15
Cabin van	1	Client Services	21
Compact sweeper	7	Cleansing	490
Gritter body	2	Highways	56
Large 360° excavator	1	Waste management	130
Medium sweeper	1	Cleansing	110
People Carrier	1	Community Transport	25
Small Panel van	1	Car parking	13
Sub Compact Sweeper	2	Cleansing	92
Welfare Bus 16 Seat	5	Community Transport	325
Contingency 5%			92
			1,928

2013/14 FINANCIAL RISK MANAGEMENTRisk Rating

A simplified version of the Risk Assessment criteria used in the Council's Risk Management Strategy has been used to rank budget risks. This assessment rates risk using the convention of green/amber/red, as defined below, although different levels of risk within each category have not been defined. The risk assessment helps inform the Council's budget monitoring process as it identifies areas that need to be monitored more closely than other budgets. These procedures help ensure that departments can manage budgets and services within the overall departmental resource allocation and the Council's overall financial management framework, which enable departments to establish reserves for significant risks and to carry forward under and over spends between financial years.

The value of expenditure/income on individual areas, together with the percentage of the authority's net budget, are shown in the table below to highlight the potential impact on the Council's overall financial position.

Green - these are unlikely events which would have a low financial impact.

Amber - these are possible events which would have a noticeable financial impact.

Red - these are almost certain to occur and would have a very significant impact. Provision would need to be made for such events in the budgets.

CORPORATE RISKS

Financial Risk	Risk Rating	2013/14 Base Budget £'000	Budget as %age net budget	Description of Risk and Summary of Risk Management Arrangements
Pay	Amber	50,427	60%	The MTFS includes provision for a cost of living pay award from 1st April 2013. There is likely to be downward pressure on this area, owing to the impact of the recession.
Higher costs of borrowing and/ or lower investment returns	Green	7,081	8%	<p>This budget covers annual principal repayments and net interest on the Council's borrowings and investments. Interest payable on Council's borrowings or interest earned on investments could be higher or lower than forecast.</p> <p>The Treasury Management Strategy details how these risks will be managed and establishes an appropriate framework of controls for managing these risks. This strategy is based upon the CFO's assessment of future interest rates, which is itself supported by the detailed interest rate forecasts and market intelligence provided by the Council's Treasury Management Advisors.</p> <p>There is still a risk that LOBO loans maybe recalled. However, as interest rates on these loans are now higher than prevailing market rates this risk has reduced in the short term. In the medium term this risk will increase as interest rates rise and this may be affected by the increase in PWLB rates.</p> <p>The unprecedented low levels of interest rates have resulted in a significant reduction in investment income this change has not had a significant impact on the MTFS as the MTFS takes a prudent approach and only includes investment income on an annual basis.</p>
Planned Maintenance Budget	Amber	227	0.3%	<p>Much of the Council's building stock is in poor condition and the Corporate Risk Register identifies this as a "red" risk. From 2002/03 the Council provided 2.5% real term growth for this budget to start addressing these issues. It was recognised that this would not be sufficient and at some point significant resources would need to be allocated to address these issues.</p> <p>The Revenue Budget Strategy includes provision to support Prudential Borrowing to fund £0.6m of capital priorities.</p>
Schools Buy-Back Income	Amber	1,293	1.5%	Buy back income underpins a range of services provided by the Council. This income budget is reliant on the Schools continuing to buy back the services. This excludes the services provided by Neighbourhood Services trading operations.
Education Services Grant	Red	1,955	2.3%	From 2013/14 the DfE have replaced the funding LA's received through the Revenue Support Grant for education services with a separate grant called the Education Services Grant. This new grant will be distributed between LA's and Academies pro-rata to the number of pupils for whom each is responsible. This new grant replaces the previous LACSEG calculation. As schools in Hartlepool convert to Academy status in the future then the funding for education services received by the LA will reduce which could impact on service delivery.
Failure to comply with relevant local authority financial legislation/regulations, NI and taxation regulations.	Amber	N/A	N/A	The Council will take appropriate steps to ensure it keeps up to date with changing legislation and regulations. There is nothing to indicate that the Council faces any specific material risk in these areas.

CHILD & ADULT SERVICES

Financial Risk	Risk Rating	2013/14 Base Budget £'000	Budget as %age net budget	Description of Risk and Summary of Risk Management Arrangements
Increased Demand for Looked After Children Placements	Red	5,336	6.3%	There is a national trend of increasing numbers and increased costs for the placement of children with foster parents or in residential establishments. This particular area is highly volatile and subject to unexpected increases in the numbers of children.
Home to School Transport Costs	Amber	1,388	1.6%	The Department's home to school transport contracts are regularly reviewed to ensure competitive prices and best value. Provision of transport is determined by the HTS Transport policy but costs are directly influenced by the needs of pupils which vary from term to term. The highest area of spending relates to the requirement to transport special needs pupils which is demand led, invariably requires escorts and is difficult to control other than to ensure all individual arrangements are procured as economically as possible by the Integrated Transport Unit (ITU).
Carlton Outdoor Education Centre	Amber	68	0.1%	Responsibility for operating the Carlton Centre was passed to the LA when the Borough was created in 1996. Since that time running costs have been subsidised and shared via a joint authority service level agreement. Since then all other LA's have withdrawn from the agreement resulting in an increase in the external income target for the Centre. A new pricing structure is also likely to be implemented during 2013/14. Significant work has been undertaken over the last year to reduce operating costs and to increase income generation.
Dedicated Schools Grant - High Needs Block	Red	8,928	10.5%	From 2013/14 the DSG is being split by the DfE into 3 separate funding blocks. The High Needs Block is 100% funded by DSG however it is to fund all high needs pupils from 2 - 24 years old. From 2013/14, schools will have to fund the first £6k of costs from their own budget and post-16 funding for all high needs students aged 16-24 years is included in this for the first time. Given these changes and the new funding arrangements there is a risk that insufficient funding exists to meet the needs of all high needs pupils.
Dedicated Schools Grant - De-Delegated Services	Red	595	0.7%	There are a number of services provided by the LA which are funded from centrally retained DSG. From 2013/14 the DfE have introduced new funding arrangements which result in LA's having to delegate this funding into school budgets and then requesting approval from Schools Forum to de-delegate these budgets back to the LA for all non-Academy schools. Academy schools retain this funding although they would have the opportunity to 'buy-back' these services from the LA. As schools in Hartlepool convert to Academy status in the future then there is the potential for funding to be reduced which could impact on service delivery.
Demographic changes in Older People	Amber	10,126	12.0%	<p>Increasing number of elderly people, high percentage of chronic health problems and market pressures on price.</p> <p>The individual nature of contribution towards social care provision is such that the financial circumstances of each individual can differ substantially. The level of the value of people's assets and savings can differ significantly and demographic changes can impact on levels of contribution.</p> <p>Increased pressure on intermediate care services and ensuring discharge from hospital is not delayed. Older people needs becoming more complex due to increased life expectancy</p> <p>Implementation of 'Putting People First' LAs now directed to reconfigure services to include focus on prevention, universal services and early intervention.</p> <p>Ongoing risk in relation to Continuing Health Care (S256) disputes.</p> <p>Provision in medium term financial plans to minimise impact of increases generated from Independent sector.</p>

Financial Risk	Risk Rating	2013/14 Base Budget £'000	Budget as %age net budget	Description of Risk and Summary of Risk Management Arrangements
Demographic changes in Working Age Adults	Red	7,625	9.0%	<p>Increasing numbers of people with learning disabilities surviving into adulthood with increasingly complex needs. High numbers of frail elderly carers requiring increased levels of support and increasing levels of early on-set dementia and old-age; expectations of improved quality of life; long-term effect of closure of long-stay hospitals.</p> <p>The individual nature of contribution towards social care provision is such that the financial circumstances of each individual can differ substantially. The level of the value of people's assets and savings can differ significantly and demographic changes can impact on levels of contribution.</p> <p>Investment in medium term identified along with development of alternatives to residential care e.g. Supporting people. Increased number of people coming</p> <p>Increasing numbers of people with physical disabilities surviving into adulthood and old age; expectations of improved quality of life; increased choice and control</p> <p>Investment in medium term identified along with development of alternatives to traditional methods of service delivery.</p>
Non-achievement of income targets - Community Services	Amber	1,485	1.8%	<p>The nature of Cultural Services and Sport & Recreations' budgets are such that the majority of income is generated through admissions/usage of the services on offer. If this usage falls below targets then income will be reduced. Budget Forecasts are based on revised charges and trends from previous years which indicate the budget should be achievable. Position will be monitored closely throughout the year.</p>
Non-achievement of income targets - CCG (previously PCT) specific Income	Amber	4,464	5.3%	<p>CCG (Clinical Commissioning Group) income is received to contribute to cover the costs of packages for individuals with social care needs, to contribute to specific services and most recently to invest in Social Care services that lead to a long term health benefit.</p> <p>Risks exist for joint packages whereby an individuals circumstances can change and the level at which the CCG are liable to contribute can decrease. Investment priorities can change year on year for CCG's and investment can reduce for certain services. Recent funding received is temporary in nature and therefore use to cover existing services can lead to a long term budget pressure.</p>

REGENERATION & NEIGHBOURHOODS

Financial Risk	Risk Rating	2013/14 Base Budget £'000	Budget as %age net budget	Description of Risk and Summary of Risk Management Arrangements
Car Parking	Amber	1,491	1.8%	<p>Budget forecasts are based on revised charges and actual income achieved in previous years. There is a risk that the planned level of income may not be achieved.</p> <p>The risk car parking income shortfalls has been addressed by a permanent reduction of £392k in this budget for 2012/13.</p>
Fee Income - Planning & Building Control	Amber	450	0.5%	<p>The fee income target must be achieved to fund part of the department's expenditure budget. This income cannot be controlled or easily estimated. Achieving the target depends on sufficient numbers/size of applications being received, national economic conditions such as interest rates being sufficiently favourable to encourage development and, in the case of Building Control, the section being able to successfully compete with the private sector.</p> <p>A specific reserve has been earmarked to address an anticipated shortfall in this income in 2013/14</p>
Rent Income - Economic Development Service	Green	210	0.2%	<p>Rent income is paid by new/growing businesses in the Brougham Enterprise Centre and Industrial Units. Whilst the recent major investment programme for these managed workspace units should help to secure good occupancy levels, factors beyond the department's control, most notably the prevailing national economic conditions, may increase the risk of non-payment and/or under occupancy during 2013/14.</p>
Trading Accounts	Amber	29,560	34.9%	<p>The department has a wide range of trading operations which generate income by charging clients both internal and external to the Council. This includes services such as school catering, highways, building maintenance, garage, passenger transport as well as professional fees which funds the salaries of staff in property and engineering related services. This income is not certain and depends on local and national economic conditions and can be volatile in response to reductions in client budgets and the Councils capital programme.</p>

BUDGET CONSULTATION MEETING WITH BUSINESS REPRESENTATIVES

**Minutes of Meeting held on 8 January 2013
at 8.30am in the Mayor's Office, Level 2, Civic Centre**

Present: ***Hartlepool Borough Council Officers***
 Stuart Drummond, Mayor (from 9.15am onwards)
 Dave Stubbs, Chief Executive
 Denise Ogden, Director of Regeneration and Neighbourhoods
 Chris Little, Chief Finance Officer
 Andrew Atkin, Assistant Chief Executive
 Louise Wallace, Assistant Director, Health Improvement
 Jill Harrison, Assistant Director Adult Social Care
 Councillor Paul Thompson

Business Representatives

Peter Olson
 Adrian Liddell
 Brian Beaumont
 John Megson
 Thomas Chacko

Apologies:

Sally Robinson, Assistant Director (Prevention, Safeguarding and Specialist Services)

Minutes: *Emma Armstrong, PA to CEMT (Minutes)*

1.	Presentation
<p>Chris Little reported on Hartlepool's Financial Future for 2013/14 – 2016/17 and provided a brief summary of reports submitted to Cabinet highlighting the following areas;</p> <ul style="list-style-type: none"> • Provisional of Local Government Finance Settlement • Impact on Hartlepool • Business Rate localisation • Localisation of Council Tax Support 	
Comments Made	Response
PO raised that it may be helpful if in future years budget consultation meetings some one from Economic Development attend these meetings.	<p>DS noted the comment raised. He continued to briefly discuss existing Economic capacity with the Council, compared to other councils and stated that Economic Development is not however a statutory function</p> <p>The City Deal proposals will be submitted next week, this will hopefully assist in the future of local industry.</p>

<p>JM thanked the officers for the documents and information provided. He stated that the budget is putting a strain on the Business Sector in Hartlepool. He noted that the budget proposals did not specify any future for improving Economic Development.</p>	<p>DS raised that the presentation and budget reports state the budget facts and that Economic Development is important to HBC and that RGF, City Deal and Enterprise zones will help assist Economic Development.</p>
<p>JM – Are HBC happy they are pursuing every opportunity to develop every area, for example tourism. What income generation strategies are pursued and what do we offer to encourage tourism to Hartlepool.</p>	<p>DS informed the group that HBC do not progress all income generation streams as in some areas this adversely affects the private sector. Parts of the Regeneration Strategy will assist to bring more tourism together and drive forward for the future.</p>
<p>JM raised that it has been stated that 5000 jobs are to be created within the private sector with RGF and Enterprise zones, how many jobs will be lost in HBC and replaced by these mentioned above?</p>	<p>DS briefly discussed the RGF funding and that a lack of investment is directly linked to the economic climate.</p> <p>He stated that approximately 40 posts will be lost through natural turnover, voluntary and compulsory redundancies over the next 12 months.</p>
<p>BB queried where HBC see the progress in Economic Development in the future, taking into account collaborative working.</p>	<p>DS discussed various options and providing the strategic aspects are correct and hope that the TV continue to work together, rather than in separate entities.</p>
<p>TC commented that he feels that public / private partnerships are important, looking to sharing resources to achieve the best for all and cut costs at the same time. Private businesses will look after themselves but must also focus on new businesses to develop.</p>	<p>DS raised the case of Seaton Carew where all the land value coming from Seaton is to be re-invested in Seaton to encourage the tourism and improve the area/ develop tourism to encourage economic development.</p>
<p>JM asked what the current position is with Jacksons Landing.</p>	<p>DS informed the Business Partners that the sale has been agreed on 24.12.12, purchased by HBC and will be sold on for housing which will enhance the area.</p>
<p>PO thanked Members and officers for the presentation and opportunity to discuss the budget challenges facing the Council.</p>	

BUDGET CONSULTATION MEETING WITH TRADE UNION REPRESENTATIVES

**Minutes of Meeting held on 16 January 2013
at 9:00am in the Mayor's Office, Level 2, Civic Centre**

Present: *Hartlepool Borough Council Officers*

Dave Stubbs, Chief Executive
Stuart Drummond, Mayor (part)
Andrew Atkin, Assistant Chief Executive
Chris Little, Chief Finance Officer
Sally Robinson, Assistant Director
Councillor C Hill
Councillor P Thompson

Trade Union Representatives

Edwin Jeffries
Steve Williams
Tony Watson
Malcolm Sullivan

Apologies:

Councillor J Lauderdale
Matthew Pearce
Debbie Kenny
Sue Garrington
Andy Waite

Sam Durham, PA to CEMT (Minutes)

<u>1.</u>	Presentation
<p>Chris Little reported on Hartlepool's Financial Future for 2013/14 – 2016/17 and provided a brief summary of reports submitted to Cabinet highlighting the following areas;</p> <ul style="list-style-type: none"> • Provisional of Local Government Finance Settlement • Impact on Hartlepool • Business Rate localisation • Localisation of Council Tax Support 	
Comments Made	Response
Trade Unions raised concern over this year's budget and possible future impact.	CL confirmed that there will be an increase in the budget gap for 2013/14. CMT will review the 2014/15 to 2016/17 budget gap and report back to Members in March/ April after the 2013/14 budget has been set.

Comments Made	Response
<p>Trade Unions queried possible NHS funding and the potential transfer to support Adult Social Care services.</p> <p>Trade Unions queried the future impact from the NHS funding and when the transfer would take place.</p>	<p>DS explained that information is still outstanding and assessments need completing. Additional responsibilities for Public Health are yet to be confirmed but currently the transfer is looking positive.</p> <p>AA advised that responsibilities and NHS contracts are currently being reviewed to ensure funding is available. Nothing is certain at the moment and nothing has been agreed but currently trying to predict what may or may not happen.</p>
Trade Unions commented on Terms and Conditions	DS advised CMT will meet with Members to look at the 2014/15 budget and will be seeking views from Trade Unions on Terms and Conditions.
Trade Unions referred to part 3.19 of the Cabinet report from the 21 December 2012 questioning if the Collection Fund Surplus is relevant to Police and Fire.	CL confirmed that the Collection Fund Surplus also benefits the Police and Fire Authority. The amount included in the MTFS is the Council share.
Trade Unions thanked Officers and Members for the presentation and the opportunity to discuss the budget challenges facing the Council and appreciate the work being put into this.	

CABINET REPORT

4th February 2013



Report of: Director of Regeneration and Neighbourhoods

Subject: CHOICE BASED LETTINGS POLICY REVIEW 2012

1. TYPE OF DECISION/APPLICABLE CATEGORY

Key Decision (test (ii)). Forward Plan Reference No. RN 22/12.

2. PURPOSE OF REPORT

- 2.1 Cabinet is asked to approve amendments to the Tees Valley Choice Based Letting (CBL) policy regarding the three specific proposals that require a deviation from the Sub Regional Policy and how these local amendments will be implemented in Hartlepool.

3. BACKGROUND

- 3.1 A report was presented to Cabinet on 3rd December 2012, forward plan reference number RN 22/12 and this provided the context behind the review of the Tees Valley Choice Based Lettings Policy and the consultation that was undertaken to inform the proposals. This report addresses the additional information requested by Cabinet and the decision to develop a local policy to reflect Cabinet's views in relation to the three specific proposals that require a deviation from the revised Sub Regional Policy, namely:
- Concern at the policy to favour applicants in low paid employment over unemployed applicants with the same housing need.
 - Opposition to the one reasonable offer of accommodation policy
 - Concern that families approved as foster carers or adoptive parents could be allocated a property that might lead to them being affected by the under occupation charge (as introduced by the Welfare Reform Act 2012)
- 3.2 In addition to the information requested by Cabinet this report also details how the 'local' elements of the policy will be implemented in Hartlepool.
- 3.3 Cabinet were also advised on 3rd December 2012 that all of the proposed amendments to the Common Allocation Policy had been approved by

Housing Hartlepool's Board on 13th November 2012. A further report will therefore need to be taken back to their Board regarding the three policy areas where Cabinet have reached a different decision in order to agree a consistent approach to managing these local variations. This will be placed on the agenda for a future Board meeting to reach a formal agreement.

4. LOCAL AMENDMENTS TO THE COMMON ALLOCATION POLICY

- 4.1 Flexibility to award preference to those in low paid employment: The new code of guidance on allocation has urged local authorities to consider how they can use their allocation policies to support those households who want to work as well as those who are contributing to their community in other ways, for example through voluntary work.
- 4.1.1 As reported to Cabinet on 3rd December 2012, the Compass (Tees Valley CBL) partnership has proposed that preference will be awarded to households in low paid work, above other households not in work with similar housing needs. In Hartlepool, it has been agreed that the local policy will be amended to remove this proposal.
- 4.1.2. Applicants in Hartlepool will not be awarded additional preference above other applicants if they are in low paid employment. In Hartlepool this will mean that all applicants will be competing on their housing need only.
- 4.1.3. However, if a Hartlepool applicant bids on a property owned by another Compass partner (and where they have local connection) they will rank below an applicant in low paid employment (in the same priority band with similar housing needs). In addition, applicants from another Tees Valley local authority area who applies to Hartlepool (and has local connection) will have the additional preference applied. For clarification, the order that an applicant would rank for a property in these circumstances is by local connection first then by their low paid employment preference, followed by those without low paid employment preference. Those without local connection but having the low paid employment preference will rank above those without local connection and without the low paid preference.
- 4.1.4 Although Housing Hartlepool will go back their Board to approve the local variations in Hartlepool, this is not the case for our other Registered Provider partners. An applicant to another registered provider in Hartlepool will have the low paid employment preference applied.
- 4.1.5 It is not anticipated that the numbers of applicants that this will apply to will be very large as historically cross boundary mobility in and out of Hartlepool is not very active. During a typical quarter 2 applicants are successful for an allocation of a property in another local authority and 2 applicants move into Hartlepool from another authority. However, the Compass (Tees Valley CBL) partnership will monitor the impact of this amendment; the numbers of applicants awarded this additional priority across the sub region by local

authority area and the numbers where it is applied as a deciding factor on short listing.

- 4.2 **Flexibility to award preference to prospective adoption or foster parents:** The code of guidance has advised authorities to consider housing applications from prospective foster carers or adopters who would require an extra bedroom to accommodate a foster or adoptive child and to weigh up the risk that the application may be unsuccessful (leading to the property being under-occupied), against the wider benefits which would be realised if the placement was successful. The current policy awards Band 1 priority to adoptive and prospective adoptive parents. In addition when considering housing need the current policy calculates the number of current household members to determine the size of property that can be bid on.
- 4.2.1 As reported to Cabinet on 3rd December 2012, the Compass (Tees Valley CBL) partnership has proposed that prospective adopters, foster carers and special guardians should be allocated accommodation to reflect their future needs. In Hartlepool, it was agreed that the further information should be provided about the average 'delay' between approval and placement.
- 4.2.2 Information has been provided from colleagues in Child and Adult Services. The average time taken from being approved for an adopter to have a placement is four months. For the fostering process this ranges from 1 week to 2 months following approval.
- 4.2.3 Applicable applicants in Hartlepool will be allowed to bid for a property larger than their current needs in order to meet future needs. This will be carefully managed and advice will be given regarding the under occupation charge, especially for foster carers when there is a delay between placements. We will continue to work with colleagues in Revenues and Benefits to assist applicants to claim Discretionary Housing Payments. There is no impact on our sub regional partners in doing this as it is good practice only.
- 4.3 **Number of reasonable offers of accommodation:** Section 4.8 of the Common Allocation Policy currently states: If 3 reasonable offers of accommodation are unreasonably refused; applicants with a priority banding will have the priority removed.
- 4.3.1 As reported to Cabinet on 3rd December 2012, the Compass (Tees Valley CBL) partnership has proposed the introduction of a 'one reasonable offer policy' to applicants in the reasonable preference bands (Bands 1+, Band 1, Band 2 or Band 3). In Hartlepool, it was agreed that the current three offer policy should be retained. This is in line with the feedback from the formal consultation that took place on the policy where the majority of responses were in favour of keeping the current policy and not moving to a one offer policy.
- 4.3.2 Applicants in Hartlepool will continue to be allowed to reasonably refuse up to three offers of accommodation following a successful bid before having

their priority removed. Consultation with Housing Hartlepool has confirmed that they will apply this policy in their procedures and this will be monitored by Housing Services to ensure applicants do not have their priority removed unless it is in line with the local policy.

- 4.3.3 Registered provider partners in Hartlepool have been advised of this local variation to the policy in Hartlepool and have agreed that they will work to the 3 offer policy in Hartlepool. However, if a Hartlepool applicant bids for and refuses an offer in another Tees Valley local authority they would be overlooked for a further offer of accommodation in that local authority area because of the introduction of the one offer policy.
- 4.3.4 Compass applicants will have their priority band removed if they refuse one reasonable offer unless they bid for properties in Hartlepool. An applicant that bids on a Compass partner property located in Hartlepool will have their priority removed after three reasonable offers.
- 4.3.5 It has further been agreed that the landlord of the property that has been offered will be responsible for recording their reasons for the offer to be deemed as reasonable or unreasonable on the applicant's housing application.
- 4.3.6 Retaining the 3 offer policy in Hartlepool as a local variation does not impact on our sub regional partners and in effect will actually advantage applicants from Hartlepool. This local variation will also be made clear in the new policy and associated scheme literature.

5. FINANCIAL CONSIDERATIONS

- 5.1 Amendments to the policy will result in a number of changes that will need to be made to the existing ICT system. It is not expected that these costs will be excessive, all partners involved in the scheme will make an equal contribution and these costs are usual in the ongoing maintenance of the allocations system. The local variations to the policy will not result in any additional costs.

6. LEGAL CONSIDERATIONS

- 6.1 There is a legislative requirement (Part 6 of the Housing Act 1996) for the Council to publish an allocation policy. The most significant risk on any allocation policy is by legal challenge or judicial review. Policy amendments as a result of the new guidance will reduce this risk.
- 6.2 Each of the local variations that will be applied to the policy in Hartlepool will be made clear in the new policy and procedures.

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

- 7.1 The amendments to the Common Allocation Policy have been developed with the reduction of crime and anti social behaviour in mind. This is particularly evident within the proposed definition for qualifying persons who are eligible to join the housing register.

8. EQUALITY AND DIVERSITY CONSIDERATIONS

- 8.1 An Impact Assessment has been undertaken on the proposed policy amendments to identify any unmet needs / requirements in line with the three aims of the Equality Duty.

9. RECOMMENDATIONS

- 9.1 Cabinet is recommended to approve the proposed process to implement three local variations to the Common Allocation Policy in relation to no additional preference for low paid workers, managing potential foster carer and adoptive parents move to larger homes and retaining three reasonable offers of accommodation.

10. REASONS FOR RECOMMENDATIONS

- 10.1 Adoption of the revised policy with the local variations for Hartlepool and revised procedures is recommended in order to enable the Council to meet its commitments in respect of the existing scheme.

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

There are no appendices attached to this report.

12. BACKGROUND PAPERS

- 12.1 HM Government Laying the Foundations: A Housing Strategy for England, November 2011

DCLG Allocation of accommodation: guidance for local housing authorities in England, June 2012

Localism Act 2011

Compass CBL Common Allocation Policy

Hartlepool Housing Strategy 2011 – 2015

14. CONTACT OFFICER

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CABINET REPORT

4th February 2013



Report of: Director of Regeneration and Neighbourhoods

Subject: THE COUNCIL'S REPORT ON HOME ENERGY CONSERVATION ACT

1. TYPE OF DECISION/APPLICABLE CATEGORY

Key Decision (test (ii) applies). Forward Plan Reference No. RN04/13

2. PURPOSE OF REPORT

- 2.1 To provide information to Cabinet on the Government's new requirement for local authorities to report on home energy efficiency initiatives in the borough and to outline the proposed content of the report.

3. BACKGROUND

- 3.1 In July 2012 the Government issued new guidance to local authorities under the Home Energy Conservation Act (HECA) 1995. The guidance requires all local authorities with housing responsibilities to report to government on the 'measures proposed to deliver significant improvements in the energy efficiency in all residential accommodation in their areas'.
- 3.2 DECC (the Department for Energy and Climate Change) states the report should be brief and can include the work programmes of partner organisations to improve energy efficiency in dwellings in the borough. It can also detail awareness raising activities alongside physical improvements.
- 3.3 The HECA guidance requires the Council to publish a report by the 31st March 2013 and every two years from 31st March 2015 to 31st March

2027. The progress reports required from 2015 onwards are expected to simply report on progress, but may include changes or modifications to the 2013 report.

4. CONSIDERATIONS

- 4.1 The Council owns a relatively small number of houses in the borough (approximately 80) so the majority of physical work to improve the energy efficiency of dwellings will be undertaken by other home owners – owner occupiers, private sector landlords and registered providers. For the purposes of the HECA report this means a number of the rows in the DECC template do not apply to the Council and as a result will be removed.
- 4.2 The Government has recently launched the Green Deal which is an initiative to improve the energy efficiency of homes without the usual up front cost. The cost of the work is added to the house's electricity bill and remains with the property rather than being a loan which remains with the person. Within the Green Deal is a 'golden rule' which states that the cost of the work should not be greater than the repayments, so overall the householder should be better off as a result of the improvement works. There are however grave concerns relating to the golden rule, the key concern is that the rule is not a guarantee so the household bills may actually be higher after the work is complete. This is a real concern for homeowners with poor heating at present. In this instance installing a new boiler and radiators and having the ability to heat the whole home (rather than one room with an electric heater for example) may result in the household heating the whole house and using more energy overall. This instance also gives rise to concern relating to the longevity of the installation compared to the repayment plan; a repayment plan can be arranged over a period of 20-25 years whereas a new boiler can only reasonably be expected to last up to 10 years.
- 4.3 For the reasons outlined above in paragraph 4.2, and the associated risk to the Council's reputation, Corporate Management Team Support Group (CMTSG) agreed in May that the Council should not have any active role in delivering the Green Deal. The subsequent HECA guidance includes an assumption that councils will be playing an active role in the delivery of the Green Deal.

5. FINANCE & RISK IMPLICATIONS

5.1 Finance

There are no financial risks associated with the preparation or publication of this report

5.2 Legal considerations

There are no legal considerations.

5.3 Equality and diversity considerations

There are no equality and diversity considerations

5.4 Asset management considerations

The Council has assessed the appropriateness of including energy efficiency aspects in its Empty Homes Strategy and concluded that it is not included in the budget for the properties.

6. CONCLUSION

- 6.1 A brief report has been prepared which includes summary information on the ongoing partnership approach in the borough to a range of linked agendas, the awareness raising activities which the Council reasonably expects to be able to deliver over the course of the next two financial years, and the proposed physical improvements which registered providers intend to make their properties. Unfortunately it has not been possible to attain information from all registered providers operating in the borough, but the report is as comprehensive as possible.

7. RECOMMENDATIONS

- 7.1 It is recommended that Cabinet agree that:
- a. A concise report is prepared using the DECC template, a draft report has been provided in **Appendix 1**.
 - b. The report includes brief information on the ongoing partnership approach to tackling a range of issues linked to energy efficiency including fuel poverty and excess winter deaths.
 - c. The report includes information on awareness raising activities by the Council and partner organisations.
 - d. The report includes information on the projects and programmes planned by registered providers as supplied.

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

- 8.1 **Appendix 1** – Suggested format for HBC HECA report based on DECC template.

9. BACKGROUND PAPERS

- 9.1 There are no background papers for this report

10. CONTACT OFFICER

Denise Ogden, Director of Regeneration and Neighbourhoods, Civic Centre, Level 3 Civic Centre, Victoria Road, Hartlepool, TS24 8AY. Tel: 01429 523301. Email Denise.ogden@hartlepool.gov.uk.

Appendix 1. Suggested format and content for Hartlepool Borough Council's HECA report, based on the DECC template

1.0 Context

- 1.1 Hartlepool Borough Council is a unitary authority in the Tees Valley area of the North East of England. The borough's population is concentrated in the main settlements of Hartlepool and Seaton Carew and a number of villages including Greatham, Hart and Newton Bewley.
- 1.2 The borough has a population of approximately 90,000 living in 40,000 households. 25% of the housing stock in the borough is social rented accommodation; the Council owns less than 100 of these dwellings. The vast majority of social housing is owned and managed by 12 registered providers.

2.0 Recent energy efficiency initiatives

- 2.1 There has been a strong recent history of partners working together locally to reduce problems associated with poor levels of energy efficiency in housing. Programmes may have had fuel poverty or health as the key driver for example, but improving energy efficiency has been a feature in the plans as partners have recognised the links between these issues.
- 2.2 The health sector, fire service and council have long recognised the links between health, warmth and efficiently heated homes and have worked in partnership to tackle the problems associated with these issues. The 'stay safe and warm' campaign was a key project which contributed to home energy efficiency. The Council undertook a project in 2009 to raise awareness of key public health issues among front line staff and key partners such as the Fire Brigade, NHS and community voluntary sector groups. Workshop topics included using fuel wisely, benefits entitlement and home fire safety. These sessions covered a range of issues such as fuel poverty, carbon reduction, reducing fuel bills in the home and safe and efficient driving. A similar approach is at planning stages again now.
- 2.3 The Hartlepool Financial Inclusion Partnership is looking at ways to promote energy and fuel awareness to the wider community and via front line workers to help resolve debt and financial issues and the associated health consequences. It is a multi-agency group chaired by the Credit Union and West View ARC.
- 2.4 The Council is aware of two recent schemes undertaken by registered providers under the Community Energy Saving Programme (CESP), the most recent involved Railway Housing Association and concentrated on external insulation of properties.

Cabinet – 4 February 2013

3.0 Proposed improvements

- 3.1 The Council is aware of a number of proposed physical improvements and awareness raising activities planned by registered providers with dwellings in the borough. The information which has been forthcoming is provided in the template attached as Appendix 1, and some such information is summarised below.

Housing Hartlepool

Housing Hartlepool owns and/or manages 7000 dwellings and as a result is the biggest provider of social housing in the borough; it also manages the Council's social housing.

Tees Valley Housing Group

Tees Valley Housing is part of the Fabric Group and owns 329 dwellings in the borough.

Railway Housing

Railway Housing owns 12 dwellings in the borough.

Accent

Accent Housing owns 103 dwellings.

Three Rivers Housing

Three Rivers Housing owns 344 dwellings in the borough.

North Star Housing Group

The North Star Housing Group includes Endeavour Housing which owns 271 dwellings in the borough.

Guinness Northern Counties

Guinness Northern Counties own 364 dwellings in the borough.

Anchor Housing

Anchor owns 333 dwellings in the borough.

Home

Home Owns 884 dwellings in the borough.

Housing 21

Cabinet – 4 February 2013

Housing 21 owns 45 dwellings in the borough.

Joseph Rowntree Foundation (JRF)

JRF owns 97 dwellings which are rented and has 48 dwellings in shared ownership

Housing Strategy

As detailed in the Council's Housing Strategy, the Council has committed to 'support landlords to carry out energy efficiency works to deal with excess cold hazards through education and promotion of the benefits', this work is ongoing. The Council will continue to provide information to all households in the borough relating to energy efficiency in the home.

ACTION

EXAMPLE

TIMING

i) LOCAL ENERGY EFFICIENCY AMBITIONS AND PRIORITIES

➤ We have committed to the Covenant of Mayors and will consider Climate Local in due course.

Domestic CO₂ emissions -

In 2010 the domestic sector accounted for 34% of all CO₂ emissions in the borough. The borough's domestic CO₂ emissions fell by 9.7% from 2005 to 2010.

The Council has committed to reduce CO₂ emissions (domestic and transport only (the industrial sector has been excluded due to impacts of recession)) by 21% by 2020 (from a 2005) baseline. A 10% reduction has been achieved so far.

Fuel poverty -

In 2010 20.3% of households in the borough were classified as fuel poor.

ii) MEASURES WHICH PARTNER ORGANISATIONS ARE TAKING TO RESULT IN SIGNIFICANT ENERGY EFFICIENCY IMPROVEMENTS OF OUR RESIDENTIAL ACCOMMODATION

Cabinet – 4 February 2013

Green Deal and ECO

The Council is not taking an active role in the Green Deal initiative as it has grave concerns relating to the effectiveness and take up of the scheme and the potential financial impact on residents. The Council will review its position in due course.

Review mid 2013/14

Accent Housing is developing a Green Deal Strategy with Yorkshire Energy Solutions.

Feed in Tariffs scheme

The Council has 82 social houses, all of which have PV panels installed.

Already complete

Renewable Heat Premium Payment

(The Renewable Heat Premium Payment is a one-off grant designed to help towards meeting the costs of installing renewable technologies in a home, until the Renewable Heat Incentive (RHI) is introduced for domestic customers.)

The Council has no plans to utilise the Renewable Heat Premium Payment scheme.

Zero Carbon Homes

The emerging Local Plan has a policy stating that new housing should be built to the current national standards (i.e. the Code for Sustainable Homes or any future equivalent).

EPCs

The Council owns 82 social houses which are managed by Housing Hartlepool. An EPC was produced when these 82 dwellings were completed.

Ongoing

The Council has an 'Empty Homes Programme', an EPC will be produced for each of these dwellings before it is rented or sold.

Cabinet – 4 February 2013

Minimum standards in the private rental sector

The Council is not currently active in this area, however there may be 2013 links to the 'Warm Homes, Healthy Hartlepool' project.

Smart meters

As part of the Council's 'Empty Homes Programme' 5 dwellings (or more if the funding becomes available) will have PV panels and smart meters installed. By 2016

iii) MEASURES WE PROPOSE TO COST EFFECTIVELY DELIVER ENERGY EFFICIENCY IMPROVEMENTS IN RESIDENTIAL ACCOMMODATION BY USING AREA BASED/STREET BY STREET ROLL OUT.

The registered providers in the borough have their own plans for continuing to improve energy efficiency in their properties:

Housing Hartlepool

Housing Hartlepool owns and/or manages 7000 dwellings and as a result is the biggest provider of social housing in the borough; it also manages the Council's social housing.

(Please note: no information on proposed work has been received yet, if none is forthcoming by the publication date this paragraph will be removed.)

Tees Valley Housing Group

Tees Valley Housing is part of the Fabric Group and owns 329 dwellings in the borough. During 2014/15 the Tees Valley Housing Group will be replacing 38 obsolete boilers with new 'A' rated boilers and thermostatic radiator valves in their dwellings.

Railway Housing Association

Railway Housing owns 12 dwellings in the borough and the Association plans to externally insulate 8 of these properties in 2013/14.

Accent

Accent Housing owns 103 dwellings; whilst it does not have any definitive plans

to improve energy efficiency in their Hartlepool dwellings for the 2013/15 period it is developing a Green Deal Strategy with Yorkshire Energy Solutions.

Three Rivers Housing

Three Rivers Housing owns 344 dwellings in the borough. All of their proposed improvements in 2013/14 and 2014/15 are still subject to budget approval. In 2013/14 the Group is due to fit 21 new heating boilers and install new windows and doors in 78 dwellings. In 2014/15 the Group is due to fit 99 new heating boilers and provide 95 dwellings with new windows and doors.

North Star Housing Group

The North Star Housing Group includes Endeavour Housing which owns 271 dwellings in the borough. As part of their investment plan North Star Housing Group plan the following:

- o 2013/14 – Replacement of 18 G-rated boilers to A-rated gas combination boilers, draft-proofing and loft insulation top-ups to the same properties.
- o 2014/15 – Replacement of 53 obsolete boilers, draft-proofing and loft insulation top-ups to the same properties.

Guinness Northern Counties

Guinness Northern Counties own 364 dwellings in the borough. All properties owned and managed by Guinness will have loft insulation to 270mm and cavity wall insulation where applicable by the end of March 2013. From January 2013, Guinness will be insulating their solid wall properties on a three year programme, the majority of these will be externally insulated but depending on restrictions some maybe internally insulated. Their plans into 2014/15 are not defined as yet, but they are starting some pilot renewable projects in other areas of the country with the view that we will be installing air source heat pumps/ ground source heatpumps in our schemes with electrical storage heaters.

Anchor Housing

Anchor owns 333 dwellings in the borough.

(Please note: no information on proposed work has been received yet, if none is forthcoming by the publication date this paragraph will be removed.)

Home

Home Owns 884 dwellings in the borough.

(Please note: no information on proposed work has been received yet, if none is forthcoming by the publication date this paragraph will be removed.)

Housing 21

Housing 21 owns 45 dwellings in the borough.

(Please note: no information on proposed work has been received yet, if none is forthcoming by the publication date this paragraph will be removed.)

Joseph Rowntree Foundation (JRF)

JRF owns 97 dwellings which are rented and has 48 dwellings in shared ownership

(Please note: no information on proposed work has been received yet, if none is forthcoming by the publication date this paragraph will be removed.)

The Council intends to provide awareness raising information to householders across the borough on a regular basis, to encourage greater energy efficiency in homes

iv) TIME FRAME FOR DELIVERY AND NATIONAL AND LOCAL PARTNERS

- Our local partners vary as to the nature of the programme of work. Partnerships relating to fuel poverty, warmth and energy efficiency include the health sector and Fire Brigade.
 - Our local partners which own/manage the
- This work is ongoing.

Cabinet – 4 February 2013

social housing stock across the borough
are listed in ii) above.

Signed off by Dave Stubbs
Chief Executive Hartlepool Borough Council



Report of: Director of Public Health

Subject: SECOND CONSULTATION DRAFT OF THE JOINT HEALTH AND WELLBEING STRATEGY

1. TYPE OF DECISION/APPLICABLE CATEGORY

Non-key.

2. PURPOSE OF REPORT

- 2.1 The purpose of this report is to present to Cabinet the second draft of the joint Hartlepool Health and Wellbeing Strategy (JHWS) for comment as set out in **Appendix A**.

3. BACKGROUND

- 3.1 NHS reforms require the Local Authority with partner agencies, including the NHS, to develop a joint Health and Wellbeing Strategy based on the Joint Strategic Needs Assessment (JSNA). The final strategy must be adopted by April 2013. The strategy should focus on not only protecting the health of the population but improving it through a range of evidence based interventions.

4. CONSULTATION PROCESS TO DATE

- 4.1 The aims of the consultation process were:

1. To consult stakeholders on the strategic aims and objectives to be set in the JHWS for Hartlepool;
2. To prioritise the strategic objectives to deliver the strategic aims for health and wellbeing in Hartlepool.

- 4.2 The consultation process was launched at the Face the Public Event in July 2012. A prioritisation exercise undertaken across a range of venues and an online survey which aimed to establish priorities across each of the proposed strategic objectives. These venues included libraries, children's centres, GP

surgery waiting rooms and Youth Centres. Participants were given a notional £25 to spend across seven strategic themes, these being:

- Give every child best start in life;
- Enable all children and young people to maximise capabilities;
- Enable all adults to maximise capabilities;
- Create fair employment and good work for all;
- Ensure a healthy standard of living for all;
- Create and develop healthy and sustainable places;
- Strengthen the role and impact of ill health prevention.

A total of 465 participants took part in the exercise. The feedback from this process was presented to Cabinet on the 19th October 2012.

- 4.3 The Shadow Health and Wellbeing Board has also undertaken a prioritisation of the strategic objectives. This stage enabled prioritisation of the objectives according to a set of agreed criteria. A framework for prioritisation was discussed based on evidence of good practice at the Shadow Health and Wellbeing Board in November 2012. The framework covered a range of criteria e.g. evidence base, service user and public views, economic considerations and political considerations. Members of the Board took responsibility for reviewing the 7 Marmot policy areas and assimilating information from the Joint Strategic Needs Assessment, feedback from the public consultation and developed an action plan under each policy area. The action plan is appended to the second draft of the strategy.
- 4.4 Other key partnerships including the Clinical Commissioning Group and the Neighbourhood Forums have also discussed the 1st draft of the Health and Wellbeing Strategy and provided feedback to the Shadow Health and Wellbeing Board. Hartlepool LINK is due to discuss the draft strategy and provide feedback on the 7th February 2013.
- 4.5 Alongside the consultation process an Equality Impact Assessment has been completed on the draft Strategy and is included as **Appendix B** for information.

5. CONSIDERATIONS FOR CABINET

- 5.1 The second draft of the Health and Wellbeing Strategy for Hartlepool including the proposed Action Plan is set out in Appendix A and takes account of the consultation and prioritisation exercises noted above. Cabinet is asked to consider the second draft and provide comments which will be fed through into the final draft of the Strategy which will be considered in March/April 2013.

6. NEXT STEPS - PROCESS AND TIMESCALES

- 6.1 The following timetable below outlines the next steps in final political approval of the Strategy.

Step 3 – Final consultation and endorsement. January – February 2012		
Where	Description	Date of Meeting
Scrutiny Co-ordinating Committee	Second Draft for comment / endorsement	18th January 2013
Shadow Health and Wellbeing Board	Second Draft for comment/ endorsement	28 January 2013
Cabinet	Second Draft for comment / endorsement	4 February 2013
Health Scrutiny Forum	Second Draft for comment / endorsement	7 February 2013

Step 4 - Political Process for Strategy. March – April 2013		
Where	Description	Date of Meeting
Health Scrutiny Forum	Final Strategy for comment	7 March 2013
Scrutiny Co-ordinating Committee	Final Strategy for comment	8 March 2013
Shadow Health and Wellbeing Board	Final Strategy for approval	11 March 2013
Cabinet	Final Strategy for approval	2 April 2013
Council	Final Strategy for approval	11 April 2013

7. RECOMMENDATIONS

- 7.1 Cabinet is asked to comment on the second draft of the Hartlepool Health and Wellbeing Strategy and Action Plan.

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

Appendix A - Draft Hartlepool Health and Wellbeing Strategy and Action Plan.

Appendix B - Equality Impact Assessment of Draft Health and Wellbeing Strategy.

9. BACKGROUND PAPERS

- 9.1 Report to Cabinet 23rd July 2012 regarding consultation process for Health and Well Being Strategy.

Report to Cabinet 15th October 2012 regarding first draft of Health and well Being Strategy.

10. CONTACT OFFICER

Louise Wallace, Director of Public Health
4th Floor, Civic Centre, Hartlepool Borough Council

DRAFT HARTLEPOOL JOINT HEALTH AND WELLBEING STRATEGY, 2013-18

Partnership organisations

To be added: Sign-up page with organisations' logos.

Foreword

To be added: To be written by the Health & Wellbeing Board Chair.

Executive Summary

To be added: Summary of Commissioning Intentions / Priorities.

1. Vision

Improve health and wellbeing and reduce health inequalities among the population of Hartlepool.

This will be achieved through integrated working, focusing on outcomes and improving efficiency.

2. Purpose

The Joint Health and Wellbeing Strategy (JHWS) is a high-level summary outlining how Hartlepool Borough Council, Hartlepool Clinical Commissioning Group and other key organisations will address the health and wellbeing needs of Hartlepool and help reduce health inequalities.

The Health and Social Care Act (2011) establishes Health and Wellbeing Boards ('Boards') as statutory bodies responsible for encouraging integrated working and developing a Joint Strategic Needs Assessment and Health and Wellbeing Strategy for their area¹. The JHWS is underpinned by the Joint Strategic Needs Assessment (JSNA) and together they will provide a foundation for strategic, evidence-based, outcomes-focused commissioning and planning for Hartlepool².

3. The case for improving health and wellbeing in Hartlepool

Health in Hartlepool is generally improving. There has been a fall in early deaths from heart disease and stroke; and the rate of road injuries and deaths is better than the England average³.

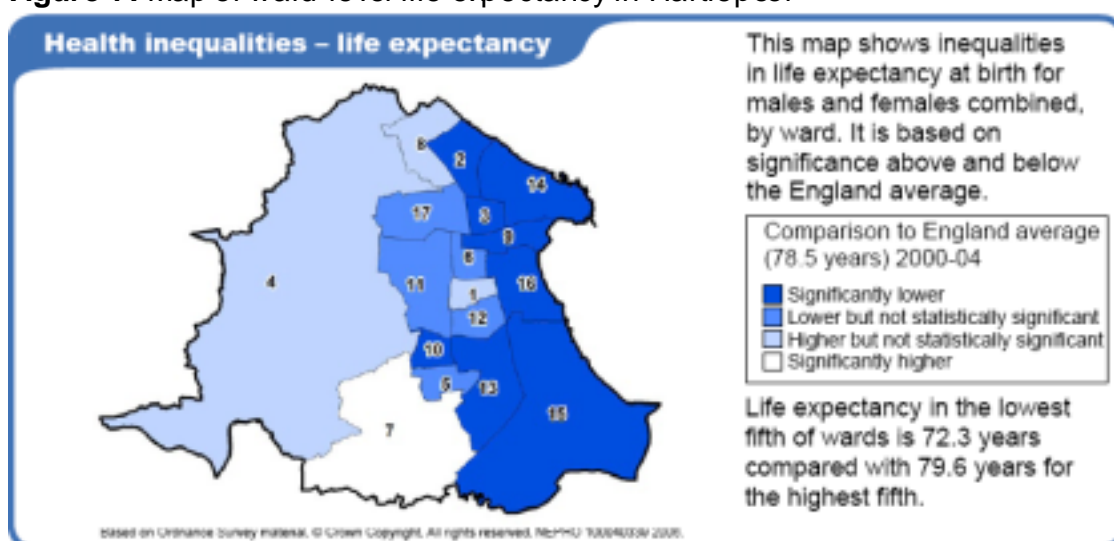
However, there is still much to do (**Box 1**). Health in Hartlepool is still worse than the national average. Levels of deprivation are higher and life expectancy is lower than the national average. **Figure 1** shows the variation in life expectancy

between wards in Hartlepool. This variation reflects the deprivation at ward-level: areas with the highest deprivation have the lowest life expectancy.

Box 1: At a glance: Health initiatives and challenges in Hartlepool³

- Levels of deprivation are higher and life expectancy is lower than the England average.
- Inequalities exist: life expectancy is 9 years lower for men living in the most deprived areas, compared to least deprived areas. The difference is 7 years for women.
- Over the last 10 years, the death rate from all causes has fallen for men but has fluctuated for women.
- The early death rate from cancer has changed little over the last 10 years.
- Both the death rate from smoking; and the percentage of mothers smoking in pregnancy are worse than the England average.
- The percentage of physically active children is better than the England average.
- Alcohol-related hospital admissions are higher than the national average.
- Childhood immunisations rates are significantly lower than the national average.

Figure 1 : Map of ward-level life expectancy in Hartlepool³



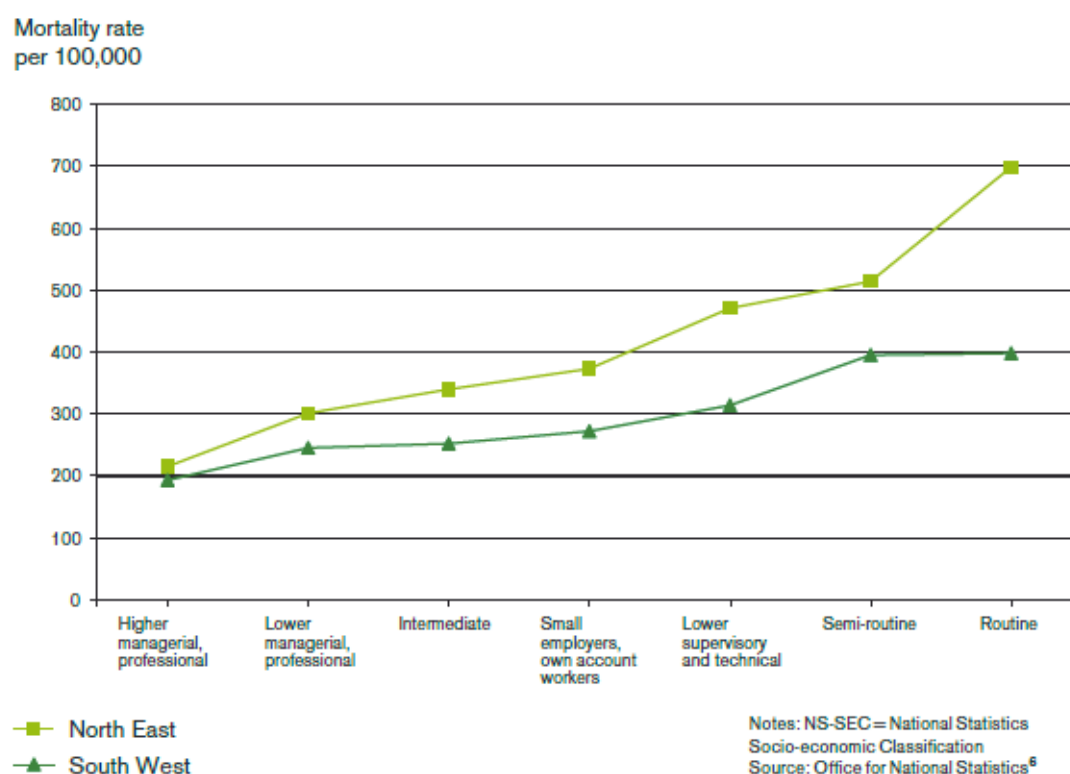
(Based on 2001 census data. Updated data for new ward boundaries should be available in 2013).

Ward legend

1	Brinkburn	7	Greatham	13	Rossmere
2	Brus	8	Hart	14	St. Hilda
3	Dyke House	9	Jackson	15	Seaton
4	Elwick	10	Owton	16	Stranton
5	Fens	11	Park	17	Throston
6	Grange	12	Rift House		

There is a 9 year difference in male life expectancy between the most advantaged and the most disadvantaged wards in Hartlepool^{3,14}. We know that socio-economic inequalities lead to inequalities in life expectancy and disability-free life expectancy. Furthermore, the relationship between these is a finely graded – for every decrease in socio-economic conditions, both life expectancy and disability-free life expectancy drop. Social and economic inequalities are important causes of this relationship⁴. In his *Strategic Review of Health Inequalities in England (2010)*⁴, Prof. Sir Michael Marmot argues that fair distribution of health, well-being and sustainability will impact positively on the country's economic growth. To improve health and wellbeing, action is needed across all social determinants of health to reduce health inequalities; and to make a difference, action to improve health and wellbeing should be across all socio-economic groups but tailored to a greater scale and intensity as the level of disadvantage increases⁴. As demonstrated in **Figure 2**, the effect of socioeconomic disadvantage on life expectancy is greater in more disadvantaged areas. However, the effect is also more pronounced in the North East compared to the South West, for all socioeconomic groups.

Figure 2: Age-standardised mortality rates by socioeconomic classification (NS-SEC) in the North East and South West regions, men aged 25-64, 2001-2003⁴



We also know that focusing on early years interventions – giving children the best start in life – helps deliver the greatest benefits in health inequalities and

economic terms. Health and wellbeing improvements delivered during childhood can reap benefits both in early life and throughout the individual's life-course⁴.

4. What does this Strategy cover?

This Strategy outlines the strategic health and wellbeing priorities for Hartlepool. It builds on the good work already underway, whilst maximising the opportunity for better integration of services and closer partnership working presented by moving much of current NHS Public Health services, into Local Authorities. Working together with other areas in the North East will help achieve better outcomes and value, for the 'big issues' in health and wellbeing⁵. The Strategy supports the ten themes of *Better Health, Fairer Health* (2008)^{5,6} – the North East's vision and 25 year plan for improving Health and Wellbeing which is supported by other Local Authorities across the North East (**Box 2**).

Box 2: *Better Health, Fairer Health* (2008)⁶

- Economy, culture and environment
- Mental health, happiness and wellbeing
- Tobacco
- Obesity, diet and physical activity
- Alcohol
- Prevention, fair and early treatment
- Early life
- Mature and working life
- Later life
- A good death

'Health and Wellbeing' has a broad remit and it will be important for a range of partner organisations to work together, to deliver improvement. This Strategy focuses on areas of work impacting directly on health and wellbeing, or acting as clear 'wider determinants' of health and wellbeing. In his review⁴, Prof. Sir Michael Marmot proposes the areas organisations should address to improve health and wellbeing and reduce health inequalities. These factors are used as the framework for the Hartlepool Joint Health and Wellbeing Strategy and are:

- Give every child the best start in life
- Enable all children, young people and adults to maximise their capabilities and have control over their lives
- Create fair employment and good work for all
- Ensure healthy standard of living for all
- Create and develop healthy and sustainable places and communities
- Strengthen the role and impact of ill health prevention

To focus activity in these areas, key outcomes have been selected to drive the Strategy (Section 7).

Other elements of health and wellbeing (initially summarised by Dahlgren and Whitehead in their social model of health⁷) (**Appendix 2**) will be outside the direct remit and influence of the Health and Wellbeing Board and its partner organisations. They will be delivered through associated strategies and work programmes within Hartlepool Borough Council, the NHS and associated partners. Communication and governance processes will ensure links between departments and strategies to limit duplication, further build joint working and integration and enable economies of scale. The work programme underpinning the Strategy will define the activities needed to deliver the outcomes in the Strategy, and the partners responsible. The work will take place in the context of local service provision, including the Momentum project, which focusses on redesigning services and providing care closer to home.

5. Our Values

To work together successfully and achieve the vision set out in this Strategy, it is important that all organisations involved sign up to and work within, a set of shared values^{8,9}. For Hartlepool, these values fit with the proposed operating principles for Boards⁸ and the Board Terms of Reference. The values are:

- Partnership working and increased integration^{2,8} across the NHS, social care and Public Health
- Focus on health and wellbeing outcomes
- Focus on prevention
- Focus on robust evidence of need and evidence of ‘what works’
- Ensure the work encompasses and is embedded in the three ‘domains’ of Public Health practice: Health Protection, Health Services and Health Improvement¹⁰
- Shared decision-making and priority-setting, in consultation with CCGs and other key groups
- Maintain an oversight of and work within the budgets for health and wellbeing
- Support joint commissioning and pooled budget arrangements, where all parties agree this makes sense
- Maximise the process of democratic accountability and develop the Strategy and related plans in consultation with the public and service users

The new Health and Wellbeing Board and Joint Health and Wellbeing Strategy provide the opportunity to maximise partnerships and evidence base, generating new ways of tackling health and wellbeing challenges. This includes recognising and mobilising the talents, skills and assets of local communities to maximise health and wellbeing¹¹.

6. Identifying our key outcomes

The Strategy's key outcomes and objectives have been developed in consultation with stakeholders and with the following in mind:

- Services Hartlepool Borough Council will be mandated to provide from April 2013¹²

The services are listed in **Appendix 2**.

- Clinical Commissioning Group draft plans

The Strategy has been developed in close liaison with the Clinical Commissioning Group for Hartlepool and Stockton-on-Tees, whose draft Clear and Credible plan¹³ has highlighted key challenges: cardiovascular disease; cancer; smoking –related illness e.g. COPD; alcohol-related disease. These areas reflect the results of a 2010 public engagement campaign, which recorded the views of 1883 people regarding priorities for them and their families. See **Appendix 3** for an overview of the draft CCG commissioning plan.

- Current JSNA commissioning intentions

The 2010 Hartlepool JSNA¹⁴ (currently being refreshed through engaging key partners) outlines commissioning intentions for health and social care.

- Hartlepool Public Health Transition Plan

The transition plan outlines the proposed activity to be funded through the Public Health budget (**Appendix 4**).

Stakeholder engagement and consultation

It is very important that this Strategy reflects both the evidence available about population health and wellbeing need; and the views and priorities of stakeholders. Stakeholders have been involved throughout the development of the Strategy, including the public, service users and partner organisations. The Shadow Health and Wellbeing Board membership which owns the Strategy includes LINKS representation, democratically elected members, NHS organisations and Local Authority representation. A full consultation process provided the opportunity to identify the public's priorities for health and wellbeing in Hartlepool; and the outcomes of the consultation have been reflected in the priorities for the Strategy. The consultation process and a summary of its outcomes is outlined in **Appendix 5**. The consultation generated a list of potential priorities, from which a list of strategy priorities was agreed by the Health and Wellbeing Board, according to a set of robust criteria. The criteria included issues such as evidence base, public opinion, effectiveness and cost effectiveness (**Appendix 6**) and ensure the decisions were based on a clear and auditable process which balanced all key considerations.

7. Key strategic priorities and objectives

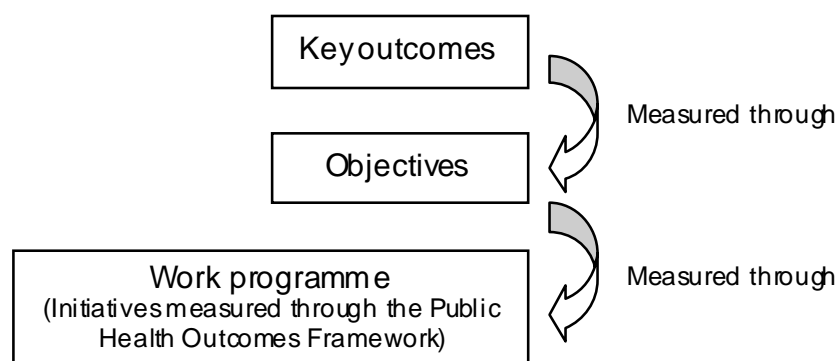
To reflect the consultation outcomes, evidence and subsequent prioritisation process, the key strategic priorities are:

Strategic priorities

- Give every child the best start in life
- Ensure a healthy standard of living for all
- Create fair employment

The evidence base and level of need for each are summarised in **Appendix 7**. To describe how the key priorities will be addressed, a range of objectives have been identified through the consultation process. Delivery on the objectives will be ensured through the work programme which supports this Strategy. The work programme specifies the detailed initiatives to deliver on the objectives and will also ensure coverage of the outcomes expected in the new Public Health Outcomes Framework¹⁵. **Figure 2** summarises the mechanism for ensuring delivery on the key outcomes.

Figure 2: Delivering on the key outcomes



Due to the broad nature of health and wellbeing, improvements will only be seen if the health and wellbeing agenda is also embedded in wider relevant Local Authority strategies and services. The work programme (**Appendix 8**) outlines how this is being done and **Appendix 9** shows how the Strategy and work programme are linked to theme groups under the Health and Wellbeing Board.

The objectives show how the Health and Wellbeing Board for Hartlepool will deliver on its key strategic priorities, and meet the challenge set out by Marmot's suggested priority area. The objectives are:

Outcome 1: Give every child the best start in life	
Objective A	Reduce child poverty
Objective B	Deliver early intervention strategy
Outcome 2: Enable all children and young people to maximise their capabilities and have control over their lives	
Objective A	Children and young people are empowered to make positive choices about their lives
Outcome 3: Enable all adults to maximise their capabilities and have control over their lives	
Objective A	Adults with health and social care needs are supported to maintain maximum independence.
Objective B	Vulnerable adults are safeguarded and supported while having choice and control about how their outcomes are achieved.
Objective C	Meet Specific Housing Needs
Outcome 4: Create fair employment and good work for all	
Objective A	To improve business growth and business infrastructure and enhance a culture of entrepreneurship
Objective B	To increase employment and skills levels and develop a competitive workforce that meets the demands of employers and the economy
Outcome 5: Ensure healthy standard of living for all	
Objective A	Address the implications of Welfare Reform
Objective B	Mitigate against the impact of poverty and unemployment in the town
Outcome 6: Create and develop healthy and sustainable places and communities	
Objective A	Deliver new homes and improve existing homes, contributing to Sustainable Communities
Objective B	Create confident, cohesive and safe communities
Objective C	Local people have a greater influence over local decision making and delivery of services
Objective D	Prepare for the impacts of climate change and takes action to mitigate the effects
Objective E	Ensure safer and healthier travel
Outcome 7: Strengthen the role and impact of ill health prevention	
Objective A	Reduce the numbers of people living with preventable ill health and people dying prematurely
Objective B	Narrow the gap of health inequalities between communities in Hartlepool

8. Strategy ownership and review

This Strategy is owned by the Shadow Health and Wellbeing Board. It will be reviewed by the Board on a 3-yearly basis.

Next review date: April 2013.

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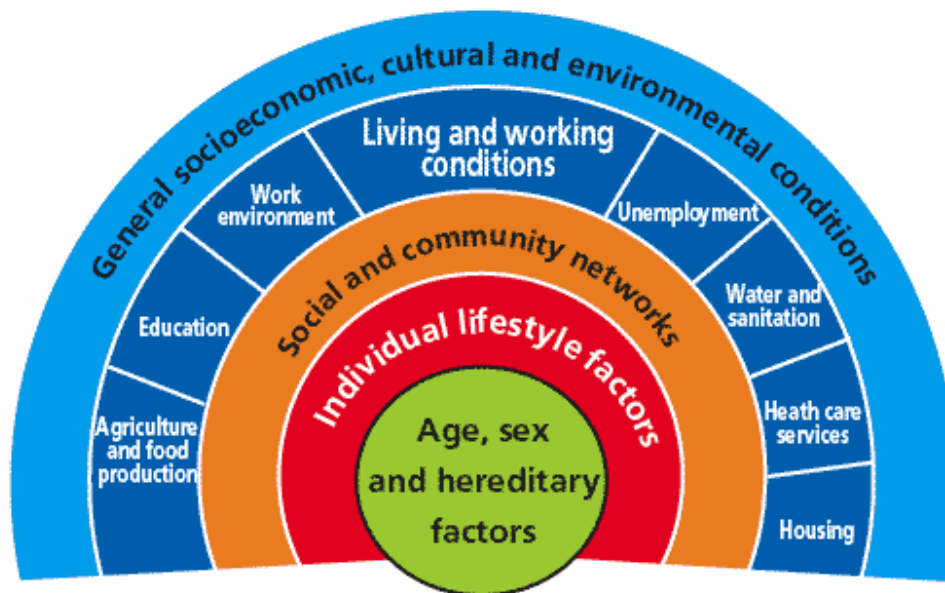
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Appendices

Appendix 1: Social model of health (Dahlgren and Whitehead, 1998)⁷



Appendix 2:

Local Authority mandated services¹²

Under the coalition government's proposals for the new Public Health system, Local Authorities will be mandated to provide the following from April 2013:

- Appropriate access to sexual health services
- Steps to be taken to protect the health of the population, in particular, giving the Director of Public Health a duty to ensure there are plans in place to protect the health of the population
- Ensuring NHS commissioners receive the public health advice they need
- The National Child Measurement Programme
- NHS Health Check assessment

Consideration is also being given locally to the various additional services not covered by this list, which would be important to continue to provide e.g. stop smoking services.

6.1 Appendix A

Appendix 3: Hartlepool and Stockton-on-Tees draft CCG commissioning plan overview¹³

Appendix B – Commissioning Plan Overview

To build 21st century health services for and with the Stockton and Hartlepool communities so that health inequalities reduce and wellbeing continuously improves

Domain	Rationale	Themes	Projects/Initiatives	Outcome measures	Cross Cutting Initiatives
Preventing people from dying prematurely	Significant lifestyle issues of smoking, excessive alcohol use and maintaining a healthy weight are significant contributing factors to the big killers of Cancer, CVD and respiratory disease	<ul style="list-style-type: none"> Staying Healthy Planned Care Unplanned Care Social Care & Integrated Working 	<ul style="list-style-type: none"> Healthy Heart programme Smoking Cessation Alcohol Pathway redesign Weight management Bowel Cancer Screening Programme 	<ul style="list-style-type: none"> Rate of hospital admissions Mortality rates Smoking quit rates Smoking in pregnancy rates Weight management activity National Childhood Measurement Programme 	<div>Ensure commissioned services focus on outcome delivery e.g. Transformation all not transactional</div> <div>Co-ordination of commissioning support to CCG</div> <div>Demand management through effective use of local services including on foot e.g. urgent care clinics and CAAS</div> <div>Engagement and relationships with key stakeholders e.g. Providers, public, primary care</div>
Enhancing quality of life for people with long-term conditions	<ul style="list-style-type: none"> High levels of urgent admissions and re-admissions Unsustainable levels of hospital activity - year on year increase in admissions and attendance at A&E Patients can be treated closer to home Autistic Spectrum conditions do not have access to diagnosis and appropriate support <p>Access to high quality, early diagnosis and appropriate support improves outcomes for people with dementia</p>	<ul style="list-style-type: none"> Staying Healthy Planned Care Unplanned Care Mental Health & LD Social Care & Integrated Working 	<ul style="list-style-type: none"> Healthy Heart programme Development of community services Telehealth/Telecare IBD Pathway Self Management projects Personal Health Budgets Care Home Management Medicines Management LAPT LD annual health check and action plan Diabetes Pathway Primary Care Training Project 	<ul style="list-style-type: none"> Reduction in unplanned admissions/readmissions Reduced number of delayed discharges Number of people with self-care health installations 100% of those with LD to be offered an annual health check and health action plan No. of people with MH problems in settled accommodation No. of people with common MH problems claiming 	
Helping people to recover from episodes of ill health or following injury	<ul style="list-style-type: none"> High levels of urgent admissions and re-admissions Better co-ordination of NHS and social care needed to keep people independent and reduce avoidable admissions 	<ul style="list-style-type: none"> Staying Healthy Planned Care Unplanned Care Social Care & Integrated Working 	<ul style="list-style-type: none"> Reablement Development of community services Enhanced discharge support Ambulatory Care pathways 	<ul style="list-style-type: none"> Number of patients with a reablement plan in place Reduction in unplanned admissions/readmissions 	
Ensuring that people have a positive experience of care	<ul style="list-style-type: none"> Quality of care is generally high but there is variation in utilisation and outcomes of care across the health economy Patients can be treated closer to home 	<ul style="list-style-type: none"> Social Care & Integrated Working Staying Healthy 	<ul style="list-style-type: none"> End of Life Pathway Single point of Access (111) Dementia Pathways Autism Pathways Consultant to consultant New to review pathways Carers project Military & Veterans Health 	<ul style="list-style-type: none"> CCG referral rates Outpatient procedure rates Reduce variation across General Practice Quality, cost and volume prescribing Patient satisfaction surveys 	
Treating and caring for people in a safe environment and protecting them from avoidable harm	<ul style="list-style-type: none"> Patients can be treated closer to home High levels of urgent admissions and re-admissions 	<ul style="list-style-type: none"> Staying Healthy Planned Care Unplanned Care Social Care & Integrated Working 	<ul style="list-style-type: none"> Pediatric Pathways Alcohol Pathways Dementia Pathways Ambulatory care project Health Visitor & Family Nurse Project 	<ul style="list-style-type: none"> MH – numbers retained in employment No. of people with MH problems in settled accommodation No. of people with common MH problems claiming sickness-related benefits 	

6.1 Appendix A

Appendix 4: Hartlepool Public Health Transition Plan: Proposed activity to be funded from the Public Health budget

NB: Subject to confirmation of the budgets available.

Public health topic	Proposed activity to be funded from Public Health budget
Sexual health	Testing and treatment of sexually transmitted infections, fully integrated termination of pregnancy services, all outreach and preventative work
Immunisation against infectious disease	School immunisation programmes, such as HPV.
Seasonal mortality	Local initiatives to reduce hospital admissions and seasonal excess deaths
Accidental injury prevention	Local initiatives such as falls prevention and reducing childhood injuries
Public mental health	Mental health promotion, mental illness prevention and suicide prevention
Nutrition	Locally led initiatives
Physical activity	Local programmes to reduce inactivity; influencing town planning such as the design of built environment and physical activities role in the management / prevention of long term conditions
Obesity programmes	Local programmes to prevent and treat obesity, e.g. delivering the National Child Measurement programme; commissioning of weight management services
Drug misuse	Drug misuse services, prevention and treatment
Alcohol misuse	Alcohol misuse services, prevention and treatment
Tobacco control	Tobacco control local activity, including stop smoking services, prevention activity, enforcement and awareness campaigns
NHS Health check	Assessment and lifestyle interventions
Health at work	Local initiatives on workplace health and responsibility deal
Prevention and early presentation	Behavioural/ lifestyle campaigns/ services to prevent cancer, long term conditions, campaigns to prompt early diagnosis
Children's public	The Healthy Child Programme for school age children, school nurses, health promotion and

6.1 Appendix A

health 5-19		prevention interventions by the multi professional team
Community safety and violence prevention and response		Specialist domestic violence services that provide counselling and support services for victims of violence including sexual violence
Social exclusion		Support for families with multiple problems, such as intensive family based interventions
Dental Health	Public	Targeting oral health promotion strategies to those in greatest need.

Appendix 5: Consultation process for identifying objectives

The Strategy consultation ran from June – October 2012, in line with Local Authority consultation processes and statutory responsibilities. It consisted of:

A 'Face the Public' event

Approximately 70 people attended, representing a range of organisations from the community, voluntary and statutory sector and elected members.

A resource-allocation exercise

Set up in a range of venues including the shopping centre, the library, children's centres, GP surgeries and youth centres. The exercise asked members of the public to allocate £25 'virtual pounds' across the Marmot policy areas. 465 members of the public took part. 'Giving every child the best start in life' was the most popular priority amongst participants with almost 30% of the total budget allocated to this area.

When broken down by the type of venue, 'giving every child the best start in life' is the most popular priority across all venues, however this percentage is significantly less in the results obtained within libraries, where there was a more even spread across each priority area.

The next most popular was 'ensure a healthy standard of living for all' (16%).

An online survey

Open to the general public, the survey asked respondents to prioritise a range of suggested interventions listed under each Marmot policy area. Respondents were asked to choose the 3 most important issues under each Marmot area. They were:

- Give every child the best start in life – levels of child poverty (60%) and better parenting (62%). Next most popular: early years education (up to age 5) 25%
- Enable all children and young people to maximise their capabilities and have control over their lives – employment and training (60%), educational attainment (48%), aspirations of young people
- Enable all adults to maximise their capabilities and have control over their lives – employment and training opportunities (81%), aspiration levels (58%), educational attainment (57%)
- Create fair employment and good work for all – access to good jobs (78%), access to good quality training (52%), young people not in education or training (46%)
- Ensure a healthy standard of living for all – job opportunities (63%), having the level of income needed for leading a healthy life (55%), unemployment levels (43%)
- Create and develop healthy and sustainable places – levels of anti-social behaviour (53%), access to good quality housing for all (48%), good quality transport (37%)

- Strengthen the role and impact of ill health prevention – levels of obesity (62%), smoking levels (56%), alcohol intake (48%)

Free-text comments generally fitted with the areas of work that were presented as options for responders in the rest of the survey.

Consultation was also carried out with existing members of the LINKS. The draft Strategy was also shared with the CCG, through discussion at the CCG locality meeting, and through CCG membership on the Health and Wellbeing Board.

Appendix 6 : Prioritisation criteria
To be added once agreed.

Appendix 7: Strategic priorities - Summary of evidence and need

Priority: Giving every child the best start in life

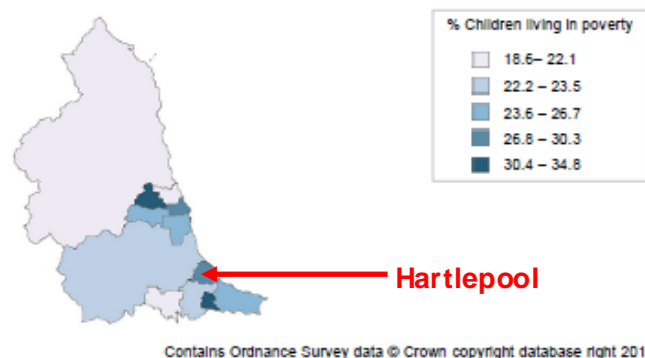
In Hartlepool:

(Sources: JSNA 2010¹⁴, Health profile 2012¹⁶)

- Immunisation: uptake of boosters e.g. 2nd MMR is 79%, compared to 91% uptake of first jab.
- 19% of women smoke in pregnancy compared to an England average of 14%.
- Breastfeeding initiation rate is approximately 42.2% in Hartlepool, compared to the England average of approximately 71.8%
- 13.8% of young people in Hartlepool have recorded substance misuse, compared to 9.8% for England
- Under-18 conception rates continue to fluctuate (59.7 per 1000 females aged 15-17, compared to the England average of 38.1 per 1000)
- The childhood obesity rate for Hartlepool is 22.8% compared to the England average of 18.3%
- 27.3% of Hartlepool children live in poverty
- Parenting and literacy skills: 30% of adults have low numeracy and 28% have literacy problems

Children living in poverty

Map of the North East area showing the relative levels of children living in poverty.



(Source: Child Health Profile 2012¹⁶)

Research shows

- Unimmunised children are at a far greater risk of contracting childhood illnesses such as measles, which can have serious health consequences.
- Smoking or exposure to smoke in pregnancy increases the risk of premature birth and low birth weight. Teenage mothers are much more likely to smoke during pregnancy.
- Babies who are breastfed have a reduced risk of illness in the short- and long-term.
- Educational attainment is directly linked to employment prospects. Better employment prospects are linked to better health and wellbeing outcomes.
- Alcohol misuse among parents can impact on children's health and wellbeing. Misuse among children is linked to other risk-taking behaviour e.g. teenage pregnancy. Alcohol admissions to hospital are increasing.
- Teenage pregnancy rates are higher than the national average. Babies born to teenage parents tend to have worse health and wellbeing outcomes. Some STI rates are also increasing.
- Increased confidence in parenting and family literacy skills impact positively on children's health, wellbeing and educational attainment.

What we plan to do

- Increase childhood immunisation rates
- Reduce smoking in pregnancy
- Increase breastfeeding
- Increase the number of young people who are 'work-ready' and increase appropriate employment opportunities
- Reduce the prevalence of alcohol misuse
- Provide sexual health services which are accessible to young people
- Promote parenting and family literacy skills

Priority: Ensure a healthy standard of living for all

In Hartlepool:
INSERT KEY FACTS

ENTER PICTURE / GRAPH

Research shows

What we plan to do

Priority: Create fair employment	
In Hartlepool: INSERT KEY FACTS	ENTER PICTURE / GRAPH

Research shows	What we plan to do
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Appendix 8: Work programme

To be added.

A work programme will be defined to agree timescales and organisational accountability for contributing towards outcomes. This should include a risk log for the implementing the Strategy.

Appendix 9: Paper to show how the Strategy and work programme are linked to theme groups under the Health and Wellbeing Board

To be added.

Outcome 1: Give every child the best start in life	
Objective A	Reduce child poverty
Objective B	Deliver early intervention strategy
Outcome 2: Enable all children and young people to maximise their capabilities and have control over their lives	
Objective A	Children and young people are empowered to make positive choices about their lives
Outcome 3: Enable all adults to maximise their capabilities and have control over their lives	
Objective A	Adults with health and social care needs are supported to maintain maximum independence.
Objective B	Vulnerable adults are safeguarded and supported while having choice and control about how their outcomes are achieved.
Objective C	Meet Specific Housing Needs
Outcome 4: Create fair employment and good work for all	
Objective A	To improve business growth and business infrastructure and enhance a culture of entrepreneurship
Objective B	To increase employment and skills levels and develop a competitive workforce that meets the demands of employers and the economy
Outcome 5: Ensure healthy standard of living for all	
Objective A	Address the implications of Welfare Reform
Objective B	Mitigate against the impact of poverty and unemployment in the town
Outcome 6: Create and develop healthy and sustainable places and communities	
Objective A	Deliver new homes and improve existing homes, contributing to Sustainable Communities
Objective B	Create confident, cohesive and safe communities
Objective C	Local people have a greater influence over local decision making and delivery of services

Objective D	Prepare for the impacts of climate change and takes action to mitigate the effects
Objective E	Ensure safer and healthier travel
Outcome 7: Strengthen the role and impact of ill health prevention	
Objective A	Reduce the numbers of people living with preventable ill health and people dying prematurely
Objective B	Narrow the gap of health inequalities between communities in Hartlepool

**** Identifies Public Health Outcome Framework Indicators**

OUTCOME 1: GIVE EVERY CHILD THE BEST START IN LIFE

LEAD OFFICER: SALLY ROBINSON, ASSISTANT DIRECTOR (PREVENTION, SAFEGUARDING AND SPECIALIST SERVICES), HBC

CONTRIBUTING STRATEGIES / PLANS / PROGRAMMES:

- Immunisation Strategy
- Breastfeeding Strategy
- Stop Smoking Maternal Action Plan
- Healthy Schools
- Teenage Pregnancy Strategy & Action Plan
- Children & Young People's Plan
- Child Poverty Strategy
- Clinical Commissioning Group Commissioning Plan
- Public Health Transition Plan
- Early Intervention Strategy

CONTRIBUTING ORGANISATIONS / GROUPS:

- Hartlepool Borough Council
- North Tees & Hartlepool NHS Foundation Trust
- Hartlepool & Stockton Clinical Commissioning Group
- Children's Strategic Partnership
- Teenage Pregnancy Strategy Group
- 'Be Healthy' Group
- Immunisation Strategy Group
- Child Poverty Strategy Group

OBJECTIVE A – REDUCE CHILD POVERTY

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
**Children living in poverty	HMRC	Annually	No current target as government reviewing measurement
Proportion of children living in workless households	DWP	Annually	
Rate of family homelessness	DCLG	Annually	

REF.	ACTION	ASSIGNED TO	DUE DATE
	Ensure that children who live in poverty are safe	Sally Robinson	March 2015
	Increase the parental employment rate	Anthony Steinberg	March 2015
	Improve skill levels in parents and children	Danielle Swainston	March 2015
	Increase benefit take up rate including in work and out of work benefits	Danielle Swainston	March 2015
	Prevent those at risk falling into poverty	Danielle Swainston/John Robinson	March 2015
	Where it is evident that a family is experiencing poverty, take action to mitigate its effects	Danielle Swainston/John Robinson	March 2015

OBJECTIVE B – DELIVER EARLY INTERVENTION STRATEGY

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
**School Readiness	TBC	TBC	TBC
**low birth weight of term babies	ONS	TBC	TBC
**Breastfeeding	TBC	TBC	TBC
**Smoking status at time of delivery	TBC	TBC	TBC
**Excess weight in 4-5 and 10-11 year olds	NCMP	TBC	TBC
Children achieving a good level of development at age 5	LA	Annual	
**Not in education, employment or training	LA	Annual	6.6%
**Teenage conception rate (age under 18 years)	DoH	Annual	
**Infant Mortality	ONS	Annual	Annual
**Tooth decay in children aged five years	TBC	4 Yearly	
GCSE achieved (5A*-C inc Eng and Maths)	LA	Annual	58%
Children defined as Child In Need	LA	Annual	

REF.	ACTION	ASSIGNED TO	DUE DATE
	Implement Early Intervention Strategy	Danielle Swainston	March 2015
	Embed common assessment as a means to identify and respond to need	Danielle Swainston	October 2013
	Provide a multi agency single point of contact for information, advice, guidance and access to services for children and their families	Danielle Swainston	March 2013
	Implement the Early Years Pathway delivering targeted support to children pre birth to five	John Robinson	September 2013

	Deliver an integrated 0-19 multi agency family support service for children who require support additional to that provided by universal services.	John Robinson	March 2013
	Provide integrated support for young people via the One Stop Shop	Mark Smith	March 2013

OUTCOME 2: ENABLE ALL CHILDREN AND YOUNG PEOPLE TO MAXIMISE THEIR CAPABILITIES AND HAVE CONTROL OVER THEIR LIVES

LEAD OFFICER:

CONTRIBUTING STRATEGIES / PLANS / PROGRAMMES:

- Children's & Young people's Plan
- Child Poverty Strategy
- Public Health Transition Plan
- Stop Smoking Maternal Action Plan
- Teenage Pregnancy Strategy & Action Plan
- Carers Strategy
- Clinical Commissioning Group Community Plan
- Mental Health / CAM HS Strategy

CONTRIBUTING ORGANISATIONS / GROUPS:

- Hartlepool Borough Council
- Children's Strategic Partnership
- Teenage Pregnancy Strategy Group
- Child Poverty Strategy Group
- North Tees, Hartlepool NHS Foundation Trust
- Tees, Esk and Wear Valley NHS Health Foundation Trust
- NHS Hartlepool & Stockton-on-Tees CCG

OBJECTIVE A: CHILDREN AND YOUNG PEOPLE ARE EMPOWERED TO MAKE POSITIVE CHOICES ABOUT THEIR LIVES

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
**Pupil Absence	School Absence record	6 Monthly	TBC
**First time entrants into youth justice system	PNC	Annual	TBC
**Under 18 conceptions	ONS	Annual	TBC
**Child development at 2-2.5 years	TBC	TBC	TBC
**Percentage of 16 to 18 year olds who are Not in Education, Employment or Training (NEET)	HBC		
**Hospital admissions caused by unintentional and deliberate injuries in the under 18s	Hospital Episodes Stats	Annual	TBC
**Emotional wellbeing of looked-after children	HBC	Annual	TBC
**Smoking prevalence – 15 year olds	TBC		
**Hospital admissions as a result of self harm	Hospital Episode Stats	Annual	
Percentage gap between those young people from low income backgrounds and those that are not progressing to higher education	HBC	Annual	20%
Percentage of young people achieving a Level 2 qualification by the age of 19	HBC	Annual	78.5%
Percentage of young people achieving a Level 3 qualification by the age of 19	HBC	Annual	49.5%
Percentage gap in the achievement of a Level 3 qualification by the age of 19 between those claiming free schools meals at academic age 15 and those that were not	HBC	Annual	21%
Percentage of young people who were in receipt of free school meals at	HBC	Annual	21%

6.1 Appendix A

academic age 15 who attained Level 2 Qualifications by the age of 19			
Unplanned hospitalisation for asthma, diabetes & epilepsy in under 19's	CCG	Quarterly	TBC
Emergency Admissions for Children with lower respiratory tract infections	CCG	Quarterly	TBC
SEN children or those with disability with personal budgets and single assessment across health, social care & education	CCG, HBC, SCHOOLS	Quarterly	TBC
Employment rate (16-24) – proportion of 16-24 year olds who are in employment	NOMIS, HBC	Annual	2014 target 46.5%
% of 16-24 year olds who are not in education, employment or training (NEET)	Dept of Education, HBC	Annual	2014 target 6.5%
Youth unemployment rate – the proportion of occupationally active 18-24 year olds who are unemployed.	NOMIS, HBC	Annual	2014 target 14.5%

REF.	ACTION	ASSIGNED TO	DUE DATE
	Reduce the level of young people who are Not in Employment, Education or Training (NEET) by implementing NEET Strategy.		
	Provide support for vulnerable young people to enable them to be economically active.		
	Ensure access to high quality learning opportunities that increase the skills and qualifications of local residents via implementing the Adult Education Service Plan		
	Increase the take up of Apprenticeships by liaising with local employers to increase opportunities		
	Work collaboratively with LA & Schools to review and develop single assessment arrangements for children with SEN or disability	TBC	March 2014
	Develop plans to increase the number of SEN and disabled children with personal budgets	TBC	March 2014

	Develop plans to improve education and support to families and children/young people with chronic health conditions	TBC	March 2014
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Draft

OUTCOME 3: ENABLE ALL ADULTS TO MAXIMISE THEIR CAPABILITIES AND HAVE CONTROL OVER THEIR LIVES

LEAD OFFICER: JILL HARRISON, ASSISTANT DIRECTOR (ADULT SOCIAL CARE), HBC

CONTRIBUTING STRATEGIES / PLANS / PROGRAMMES:

- Vision for Adult Social Care in Hartlepool
- Carers Strategy
- Mental Health Strategy
- Housing, Care & Support Strategy
- Reablement Strategy
- Telecare Strategy
- Clinical Commissioning Group Commissioning Plan

CONTRIBUTING ORGANISATIONS / GROUPS:

- Hartlepool Borough Council
- North Tees & Hartlepool NHS Foundation Trust
- Hartlepool & Stockton Clinical Commissioning Group
- Learning Disabilities Partnership Board
- Safeguarding Vulnerable Adults Board
- Mental Health Consultation Group
- Carers Strategy Group
- Champions of Older Lifestyles Group
- Teesside Vulnerable Adults Board
- 50+ Forum
- Housing Care & Support Group
- Long Term Conditions Planning Group

OBJECTIVE A: ADULTS WITH HEALTH AND SOCIAL CARE NEEDS ARE SUPPORTED TO MAINTAIN MAXIMUM INDEPENDENCE

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
NI125: Achieving independence for older people through rehabilitation / intermediate care.	HBC	Quarterly	TBC
NI131: Delayed transfers of care attributable to social care	HBC	Quarterly	TBC
NI135: Carers receiving needs assessment or review and a specific carers service or advice and information.	HBC	Quarterly	TBC
NI136: People supported to live independently through social services.			
P050: Access to equipment: percentage delivered within 7 days	HBC	Quarterly	TBC
P051: Access to equipment: users with telecare	HBC	Quarterly	TBC
P066: Admissions to residential care age 65+	HBC	Quarterly	TBC
Patients with a LOS<24hrs with an overnight stay NEL admissions via A&E NEL admissions via GP/Bed bureau A&E attendances ALOS (excl O LOS) ALOS for patients discharged to a different location to admitting location Delays to transfer of care (Bed days) Acute admissions from care homes Emergency readmissions within 30 days of discharge from hospital Emergency readmission rate within 30 days of discharge from hospital No of ambulatory care patients	CCG	Quarterly	TBC
NI125: Achieving independence for older people through	HBC	Quarterly	TBC

rehabilitation / intermediate care.			
NI131: Delayed transfers of care attributable to social care	HBC	Quarterly	TBC
NI135: Carers receiving needs assessment or review and a specific carers service or advice and information.	HBC	Quarterly	TBC
NI136: People supported to live independently through social services.			
P050: Access to equipment: percentage delivered within 7 days	HBC	Quarterly	TBC
P051: Access to equipment: users with telecare	HBC	Quarterly	TBC
P066: Admissions to residential care age 65+	HBC	Quarterly	TBC

REF.	ACTION	ASSIGNED TO	DUE DATE
	Further develop reablement services to meet the needs of all citizens (including people with dementia and disabilities) to prevent hospital and care home admissions or reduce ongoing dependency on health and social care services.	Phil Hornsby, HBC John Lovatt, HBC CCG NT&HFT TE&WV FT	March 2014
	Maximise the use of preventative approaches such as assistive technology to support people to maintain their independence.	Phil Hornsby, HBC CCG NT&HFT	March 2014
	Review services for carers to ensure that carers receive appropriate support to maintain their role, including access to short breaks.	Phil Hornsby, HBC CCG	March 2014
	Further develop reablement services to meet the needs of all citizens (including people with dementia and disabilities) to prevent hospital and care home admissions or reduce ongoing dependency on health and social care services.	Phil Hornsby, HBC John Lovatt, HBC CCG NT&HFT TE&WV FT	March 2014
	Maximise the use of preventative approaches such as assistive technology to support people to maintain their	Phil Hornsby, HBC CCG	March 2014

	independence.	NT&HFT	
	Review services for carers to ensure that carers receive appropriate support to maintain their role, including access to short breaks.	Phil Hornsby, HBC CCG	March 2014

OBJECTIVE B: VULNERABLE ADULTS ARE SAFEGUARDED AND SUPPORTED WHILE HAVING CHOICE AND CONTROL ABOUT HOW THEIR OUTCOMES ARE ACHIEVED.

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
NI130b: Social care clients receiving self directed support	HBC	Monthly	TBC
NI145: Adults with learning disabilities in settled accommodation.	HBC	Monthly	TBC
NI146: Adults with learning disabilities in employment.	HBC	Monthly	TBC
NI149: Adults in contact with secondary mental health services in settled accommodation.	HBC / TE&WV FT	Monthly	TBC
NI150: Adults in contact with secondary mental health services in employment.	HBC / TE&WV FT	Monthly	TBC
NI130b: Social care clients receiving self directed support	HBC	Monthly	TBC
NI145: Adults with learning disabilities in settled accommodation.	HBC	Monthly	TBC
NI146: Adults with learning disabilities in employment.	HBC	Monthly	TBC
NI149: Adults in contact with secondary mental health services in settled accommodation.	HBC / TE&WV FT	Monthly	TBC
NI150: Adults in contact with secondary mental health services in employment.	HBC / TE&WV FT	Monthly	TBC
** People in prison who have a mental illness or significant mental illness	TBC	TBC	TBC
** Employment for those with a long-term health condition including those with a learning difficulty / disability or mental illness	Labour Force Survey	TBC	TBC

REF.	ACTION	ASSIGNED TO	DUE DATE
	Increase the number of people who direct their own care and support by accessing personal budgets and personal health budgets.	Geraldine Martin, HBC CCG	March 2014
	Further develop local arrangements to safeguard vulnerable adults ensuring continued engagement of all strategic partners and an appropriate and timely response to expected changes in legislation.	John Lovatt, HBC Funding partners – CCG and Cleveland Police All strategic partners	March 2014
	Increase the number of people who direct their own care and support by accessing personal budgets and personal health budgets.	Geraldine Martin, HBC CCG	March 2014
	Further develop local arrangements to safeguard vulnerable adults ensuring continued engagement of all strategic partners and an appropriate and timely response to expected changes in legislation.	John Lovatt, HBC Funding partners – CCG and Cleveland Police All strategic partners	March 2014

OBJECTIVE C: MEET SPECIFIC HOUSING NEEDS

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
**People with learning disabilities in settled accommodation	Mental Health Minimum data set	Quarterly	
**People receiving secondary mental health services in settled accommodation	Mental Health Minimum data set	Quarterly	
**Statutory homelessness: Homelessness applications	HBC		
**Statutory homelessness: Households in temporary accommodation	HBC		

Average waiting time for a Disabled Facilities Grant to be completed	Time Monitoring Spreadsheet HBC	Quarterly	None – monitoring PI to reduce the time taken and set a baseline for future targets
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REF.	ACTION	ASSIGNED TO	DUE DATE
HS3B2	Improve partnership working with health and social care in service planning and delivery for older people through the Housing Care and Support Strategy Steering Group	Housing Services Manager Nigel Johnson Head of Service (C&A) Phil Homsby	March 2013
3B5	Monitor access to new and existing housing care and support schemes for people with disabilities	Head of Service (C&A) Neil Harrison	March 2015
3B9 (proposed replacement action)	Undertake a review of the current Housing Adaptations Policy and gather data to inform the new Policy and Implementation Plan.	Karen Kelly	December 2013
Proposed new action	Assist people to maintain independent living through the provision of minor adaptations.	Karen Kelly	March 2014
HS3B10	Increase the use of Assisted Technology by case finding as a preventative measure	All Registered Providers Head of Service (C&A) Phil Homsby	March 2014

OUTCOME 4: CREATE FAIR EMPLOYMENT AND GOOD WORK FOR ALL
LEAD OFFICER: DAVE STUBBS, DIRECTOR OF REGENERATION & NEIGHBOURHOODS, HBC

CONTRIBUTING STRATEGIES / PLANS / PROGRAMMES:

- Economic Regeneration Strategy
- 14 - 19 Strategy

CONTRIBUTING ORGANISATIONS / GROUPS:

- Hartlepool Borough Council
- Economic Regeneration Forum

OBJECTIVE A: TO IMPROVE BUSINESS GROWTH AND BUSINESS INFRASTRUCTURE AND ENHANCE A CULTURE OF ENTREPRENEURSHIP

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
Business stock (business units in Hartlepool)	Annual Business Register / NOMIS, HBC	Annual	2014 target of 2,400
Percentage of newly born enterprises surviving two years	Annual Business Register / NOMIS, HBC	Annual	2014 target of 77.4%
New business registration rate – the proportion of new business registration per 10,000 resident population	Annual Business Register / NOMIS, HBC	Annual	2014 target of 30

REF.	ACTION	ASSIGNED TO	DUE DATE
	Deliver Business Advice and Brokerage – Programme	Mick Emerson	March 2014

	of targeted account management with key businesses. Develop and maintain relationships with individual businesses.		
	Continued provision of Incubation support service including mentoring, pre-start support (Enterprise Coaching), financial assistance, brokerage and other initiatives.	Mick Emerson	March 2014
	Undertake 'Get Serious' awareness raising activities including marketing campaigns and events.	Mick Emerson	March 2014
	Engage with DWP Providers to offer unemployed individuals a wider package of support where appropriate to enter into self-employment.	Mick Emerson	March 2014

OBJECTIVE B: TO INCREASE EMPLOYMENT AND SKILL LEVELS AND DEVELOP A COMPETITIVE WORKFORCE THAT MEETS THE DEMANDS OF EMPLOYERS AND THE ECONOMY.

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
Overall employment rate (proportion of people of working age population who are in employment)	Annual Population Survey, NOMIS, HBC	Annual	2014 target of 63%
Self-employment rate	NOMIS, HBC	Annual	2014 target of 9%
Employment rate (16-24) – proportion of 16-24 year olds who are in employment	NOMIS, HBC	Annual	2014 target of 46.5%
Percentage of 16 to 18 year olds who are in not in education, employment or training (NEET)	Department for Education, HBC	Annual	2014 target of 6.5%
Youth unemployment rate (Hartlepool) – The proportion of economically active 18 to 24 year olds	NOMIS, HBC	Annual	2014 target of 14.1%

who are unemployed			
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REF.	ACTION	ASSIGNED TO	DUE DATE
36	Full implementation of the Raising Participation Age (RPA) Strategy	Mark Smith/Tom Argument	March 2014
38	Develop the 14-19 curriculum pathways in conjunction with employers from new industries and identified growth sector areas	Tom Argument	March 2014
39	Fully implement the 11-19 Operational Plan to raise education standards at key stage 4 and 5	Tom Argument	March 2014
49	Development of new partnership arrangements between Hartlepool Borough Council and the National Apprenticeship Service (NAS) to promote apprenticeship programmes to employers	Patrick Wilson	April 2013
N/A	Implementation of the Hartlepool Youth Investment Project	Patrick Wilson/Tom Argument	September 2014

OUTCOME 5: ENSURE A HEALTHY STANDARD OF LIVING FOR ALL
LEAD OFFICER:

CONTRIBUTING STRATEGIES / PLANS / PROGRAMMES:

- Child Poverty Strategy
- Children's and Young People's Plan
- Public Health Transition Plan
- Clinical Commissioning Group Commissioning Plan

CONTRIBUTING ORGANISATIONS / GROUPS:

- Hartlepool Borough Council
- Hartlepool and Stockton Clinical Commissioning Group

OBJECTIVE A: ADDRESS THE IMPLICATIONS OF WELFARE REFORM

REF.	ACTION	ASSIGNED TO	DUE DATE
	Implement and review Discretionary Council Tax Support Framework	Julie Pullman	December 2013
	Respond to Welfare Reform changes by engaging and supporting affected households	Julie Pullman	March 2014
	Develop partnership outreach process to ensure that families understand and plan for Welfare Reform	Danielle Swainston	March 2014
	Support workforce to identify risk factors re: child poverty/welfare reform and implement appropriate packages of support	Danielle Swainston	March 2014
	Implement a programme of Benefits and Free	Julie Pullman	March 2014

	School Meals take up initiatives		
	Develop referral channels for adults to access financial advice services and financial products	John Morton	March 2014

OBJECTIVE B: MITIGATE AGAINST THE IMPACT OF POVERTY AND UNEMPLOYMENT ACROSS THE TOWN

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
**Fuel Poverty	HBC	TBC	TBC
Proportion of children living in workless households	DWP	Annually	

REF.	ACTION	ASSIGNED TO	DUE DATE
	Develop training package for family workforce to identify poverty issues and support parents in poverty	Danielle Swainston	March 2014
	Increase the parental employment rate	Anthony Steinberg	March 2015
	Improve skill levels in parents and children	Danielle Swainston	March 2015

OUTCOME 6: CREATE AND DEVELOP HEALTHY AND SUSTAINABLE PLACES AND COMMUNITIES

LEAD OFFICER: MAYOR STUART DRUMMOND, PORTFOLIO HOLDER FOR REGENERATION & NEIGHBOURHOODS , HBC

CONTRIBUTING STRATEGIES / PLANS / PROGRAMMES:

- Housing Strategy
- Housing, Care & Support Strategy
- Fuel Poverty Strategy
- Public Health Transition Plan
- Crime & Disorder Strategy
- Local Transport Plan
- Community Cohesion Strategy
- Climate Change Strategy
- Neighbourhood Management and Empowerment Strategy
- Parks and open space

CONTRIBUTING ORGANISATIONS / GROUPS:

- Hartlepool Borough Council
- Housing Partnership
- Safer Hartlepool Partnership

OBJECTIVE A: DELIVERING NEW HOMES AND IMPROVE EXISTING HOMES, CONTRIBUTING TO SUSTAINABLE COMMUNITIES

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
New homes constructed to lifetime homes standard	Housing Monitoring System HBC	Quarterly	50
Sustainable homes constructed	Housing Monitoring System HBC	Quarterly	50
Number of properties improved through the grants or loans schemes	Authority Public Protection (APP) System HBC	Quarterly	None – the numbers of properties improved will depend on funding – the overall aim to reduce waiting list
Number of long term (over 6 months) empty homes brought back into use	Authority Public Protection (APP) System and Council Tax data HBC	Quarterly	10% of long term (over 6 months) empty homes brought back into use annually
Number of social rented houses fitted with renewables such as Photo Voltaic panels and/or cells, solar hot water and air source heat pumps	RP Management Systems All Registered Providers	Annually	50
Number of excess cold HHSRS Category 1 hazards rectified	Authority Public Protection (APP) System	Quarterly	None – the number of complaints received on an

	HBC		annual basis will vary
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REF.	ACTION	ASSIGNED TO	DUE DATE
HS1A4 (proposed replacement action)	Monitor the schemes included in the 2011-15 NAHP programme and report any changes to the Housing Partnership.	Nigel Johnson	March 2015
1B1	Continue to achieve an improvement in the number of private sector homes constructed to lifetime home standards and relevant government energy efficiency levels.	Planning Services Manager Chris Pipe	March 2014
HS1C3 (proposed replacement action)	Monitor the progress of acquisition on the Carr/Hopps Street regeneration scheme	Amy Waller; Nigel Johnson	March 2015
New proposed action from 2D4	Work with landlords to prevent homes from becoming long-term empty through early intervention.	Amy Waller	March 2015
HS2E2	Support landlords to carry out energy efficiency works to deal with excess cold hazards through education and promotion of the benefits	Housing Services Manager Nigel Johnson	March 2015
HS2E4	Explore opportunities and options for encouraging property owners to retrofit homes with renewables such as Photo Voltaic panels and/or cells solar hot water and air source heat pumps	Principal Policy Officer Valerie Hastie	March 2015

OBJECTIVE B: CREATE CONFIDENT, COHESIVE & SAFE COMMUNITIES

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
Reduce perceptions of anti-social behaviour	Viewpoint Hartlepool Borough Council	Biannual	Reduce in comparison to baseline year – 29%
Maintain perception level of drunk/rowdy behaviour as a problem	Viewpoint Hartlepool Borough Council	Biannual	Maintain in comparison to baseline year – 25%
Reduce anti-social behaviour (asb) incidents reported to the police	Police recorded (asb) incidents – Cleveland Police	Quarterly	Reduce in comparison to baseline year – 8,779
Increase the number of recorded hate incidents	Recorded Crimes and Incidents – Cleveland Police, Housing Hartlepool and Hartlepool Borough Council	Quarterly	Increase in comparison to the baseline year – 98
**Domestic Abuse	NI32		
**Violent Crime (including sexual offence)	TBC		
**Reoffending	HBC		
**Percentage of population affected by noise	TBC		
** Utilisation of green space for exercise / health	National Environment		

reasons	Survey		
**Social connectedness	TBC		
**Older Peoples perception of community safety	TBC		

REF.	ACTION	ASSIGNED TO	DUE DATE
	Implement the PREVENT action plan as guided by the Silver group.	Sally Forth	March 2014
	Develop new Anti-Social Behaviour Strategy and action plan in line with Government policy	Sally Forth	March 2014
	Monitor the implementation of the community cohesion framework action plan	Adele Wilson	March 2014
	In conjunction with partners improve reporting, recording, and responses/interventions to vulnerable victims and victims of hate crime.	Nicholas Stone	March 2014
	Introduce restorative practice across Safer Hartlepool partners to give victims a greater voice in the criminal justice system.	Sally Forth	March 2014

OBJECTIVE C: ENSURING APPROPRIATE GOVERNANCE IS IN PLACE THAT ENABLES THE MEANINGFUL PARTICIPATION AND EMPOWERMENT OF COMMUNITIES IN LOCAL GOVERNMENT DECISION MAKING PROCESSES

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
Percentage of residents feeling that they can influence decisions that affect their local area	HBC	Annual	Monitored

REF.	ACTION	ASSIGNED TO	DUE DATE
	Support the delivery of Face the Public Events by the Strategic Partners Group and Theme Groups	Catherine Grimwood	March 2014

OBJECTIVE D - PREPARE FOR THE IMPACTS OF CLIMATE CHANGE AND TAKE ACTION TO MITIGATE THE EFFECTS

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
NI185 – CO ₂ reduction from local authority operations	NI185 outturn produced by Council	Financial Year	7% (currently under review, and will be smaller for 2013/14)
NI186 – Per capita CO ₂ emissions from the local authority area	NI186 outturn produced by Department for Energy & Climate Change	Calendar Year	3.75%
NI188 – Planning to Adapt to Climate Change	NI188 outturn produced by Council	Financial Year	Level 4 by end 2013/14

**Air Pollution	TBC		
**Public Sector organisations with board approved sustainable development management plan	TBC		

REF.	ACTION	ASSIGNED TO	DUE DATE
	Implement actions of the Joint Strategic Needs Assessment (JSNA) Scrutiny review with regard to the environment.	Paul Hurwood	Mar 2014
	Consult and promote a community 'Collective Energy Switching' programme throughout the borough	Dave Hammond / Paul Hurwood	Mar 2014

OBJECTIVE E - ENSURE SAFER HEALTHIER TRAVEL

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
NI47- People killed or seriously injured in road traffic accidents	Cleveland Police & Hartlepool Borough Council	Annually	Yes
NI48- Children killed or seriously injured in road traffic accidents	Cleveland Police & Hartlepool Borough Council	Annually	Yes

REF.	ACTION	ASSIGNED TO	DUE DATE
	Safer Routes to School	Paul Watson/Peter Frost	Annual programme
	School 20mph zones	Peter Frost	Annual programme
	Road Safety education and training	Paul Watson	Annual programme

OUTCOME 7: STRENGTHEN THE ROLE AND IMPACT OF ILL HEALTH PREVENTION

LEAD OFFICER: LOUISE WALLACE, DIRECTOR OF PUBLIC HEALTH, HBC

CONTRIBUTING STRATEGIES / PLANS / PROGRAMMES:

- Immunisation Strategy
- Alcohol Harm Reduction Strategy
- Stop Smoking Action Plan
- Tobacco Alliance Plan
- Cardiovascular Disease Programme Plan
- National Early Detection & Awareness of Cancer Plan
- Flu Plan (Seasonal)
- Clinical Commissioning Group Commissioning Plan
- Public Health Transition Plan
- Breastfeeding Strategy
- Health Schools
- Healthy Weight, Healthy Lives Strategy
- Vision for Adult Social Care in Hartlepool
- Mental Health Strategy
- Drug Treatment Plan
- Health & Safety Service plan
- Food Law Enforcement Plan
- Alcohol Licensing Policy
- Trading Standards Service Plan
- Food Sampling Policy
- North East Outbreak Control Policy

CONTRIBUTING ORGANISATIONS / GROUPS:

- Hartlepool Borough Council
- North Tees & Hartlepool NHS Foundation Trust
- Hartlepool & Stockton Clinical Commissioning Group
- Immunisation Strategy Group
- Coronary Heart Disease Local Implementation Team
- Diabetes Local Implementation Team
- British Heart Foundation Group
- 'Be Healthy' Groups
- Alcohol Strategy Group
- HPA / Public Health England
- FRESH
- BALANCE

OBJECTIVE A: REDUCE THE NUMBER OF PEOPLE LIVING WITH PREVENTABLE ILL HEALTH AND DYING PREMATURELY

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
**Healthy life expectancy	ONS		
** Sickness absence rate: Percentage of employees who had at least one day off sick in the previous week / Number of working days lost due to sickness absence.	TBC		
** Sickness absence rate: Rate of fit notes issued per quarter	TBC		

**Differences in life expectancy and health expectancy between communities	TBC		
**Diet	TBC		
**Excess weight in adults	TBC		
**Successful completion of drug treatment	National drug treatment monitoring system		
**People entering prison with a substance dependence issue who are not previously known to community treatment	TBC		
2.18 Alcohol related admissions to hospital	Hospital Episode Stats		
2.17 recorded diabetes	Quality management analysis system		
2.18 Alcohol related admissions to hospital	Hospital Episode stats		
**Access to non cancer screening programmes : infectious disease testing in pregnancy – HIV, syphilis, hepatitis B, and susceptibility to rubella	TBC		
**Access to non cancer screening programmes : Antenatal sickle cell and thalassaemia screening	TBC		
**Access to non cancer screening programmes : Newborn blood spot screening	TBC		
**Access to non cancer screening programmes : Newborn hearing screening	TBC		
**Access to non cancer screening programmes : Newborn physical examinations	TBC		
**Access to non cancer screening programmes :Diabetic retinopathy	TBC		
**Take up of the NHS Health Check programme – by those eligible	TBC		
**Self reported wellbeing	TBC		

**Chlamydia diagnoses	TBC		
**Population vaccination coverage	TBC		
**People presenting with HIV at a late stage of infection	TBC		
**Treatment completion for tuberculosis	TBC		
**Comprehensive inter-agency plans for dealing with public health incidents	TBC		
**Mortality rate from causes considered preventable	ONS		
**Under 75 mortality rate from all cardiovascular diseases	ONS		
**Under 75 mortality from cancer	ONS		
**Under 75 mortality from liver disease	ONS		
**Under 75 mortality from respiratory disease	ONS		
**Mortality from infectious and parasitic diseases	ONS		
**Emergency readmissions within 30 days of discharge from hospital	ONS		
**Preventable sight loss	Certificate of Visual impairments		
**Health related quality of life for older people	TBC		

REF.	ACTION	ASSIGNED TO	DUE DATE
	Commission a comprehensive healthy heart check programme for all eligible people across Hartlepool	Director of Public Health	March 2014
	Commission a comprehensive range of accessible and equitable sexual health services	Director of Public Health	March 2014
	Develop a comprehensive health protection plan for Hartlepool and provide assurance that the health of then population is comprehensively protected	Director of Public Health	March 2014
	Commission a comprehensive range of services to	Substance Misuse Joint	March 2014

	reduce the individual and community impact of alcohol related harm	Strategy Group / Director of Public Health	
	Commission services to ensure people maintain a healthy weight and a healthy life.	Healthy Weight Healthy Lives Strategy Group	March 2014
	Deliver a comprehensive programme to improve workplace health	Director of Public Health	March 2014
	Ensure effective integrated treatment of drug and alcohol services	Chris Hart	March 2014

OBJECTIVE B: REDUCE THE HEALTH INEQUALITY GAP BETWEEN COMMUNITIES ACROSS HARTLEPOOL

Performance Indicator	Data Source & Responsible Organisation	Collection Period	Annual Target
**Fuel Poverty	English Housing Survey		
**Proportion of physically active and inactive adults	TBC		
**Smoking prevalence adults	Integrated Health Survey		
**Cancer diagnosed at stages 1 & 2	TBC		
**Cancer screening coverage	TBC		
**Injuries due to falls in people aged 65 and over	TBC		
**Under 75 mortality rate from all cardiovascular diseases	ONS		
**Under 75 mortality from liver disease	ONS		
**Under 75 mortality from respiratory disease	ONS		
**under 75 mortality rate from cancer	ONS		
**Excess under 75 mortality rate in adults with serious mental illness	TBC		
**Suicide rate	ONS		

**Hip fractures in people aged 65 and over	Hospital Episode Stats		
**Excess winter deaths	ONS		
**Dementia and its impacts	TBC		

REF.	ACTION	ASSIGNED TO	DUE DATE
	Commission a comprehensive range of services to enable people to stop smoking	Director of Public Health	March 2014
	Develop a comprehensive systematic approach for addressing excessive winter deaths	Director of Public Health	September 2014
	Commission services to promote positive mental health and well being	Director of Public Health	March 2014
	Promote the early detection and awareness of signs and symptoms of cancer across Hartlepool	Director of Public Health	March 2014
	Develop a comprehensive programme of accident prevention	Director of Public Health	March 2014

Department	Division	Section	Owner/Officer
Child and Adult Services	Public Health	Public Health	Louise Wallace
Function/ Service	<p>Hartlepool Joint Health and Wellbeing Strategy 2013-18</p> <p>The NHS reform requires the Local Authority with partner agencies, including the Primary Care Trust (PCT) and Clinical Commissioning Group, to develop a joint Health and Wellbeing Strategy based on the Joint Strategic Needs Assessment (JSNA). The final draft of the strategy must be completed by April 2013. The strategy should focus on not only protecting the health of the population but improving it through a range of evidence based interventions.</p> <p>The Joint Health and Wellbeing Strategy (JHWS) is a high-level summary outlining how Hartlepool Borough Council, Hartlepool Clinical Commissioning Group and other key organisations will address health and wellbeing needs of Hartlepool and help reduce health inequalities.</p> <p>The Health and Social Care Bill (2011) establishes Health and Wellbeing Boards as statutory bodies responsible for encouraging integrated working and developing a Joint Strategic Needs Assessment and Health and Wellbeing Strategy for their area. The JHWS is underpinned by the Joint Strategic Needs Assessment (JSNA) and together they will provide a foundation for strategic evidence-based, outcomes-focused commissioning and planning for Hartlepool.</p> <p>The JHWS supports the ten themes of <i>Better Health, Fairer Health</i> (2008) – The North East's vision and 25 year plan for improving health and wellbeing. The ten themes being:</p> <ul style="list-style-type: none"> • Economy, culture and environment • Mental health, happiness and wellbeing • Tobacco • Obesity, diet and physical activity • Alcohol • Prevention, fair and early treatment • Early life • Mature and working life • Later Life • A good death <p>The strategy focuses on areas of work impacting directly on health and wellbeing, or acting as clear 'wider determinants' of health and wellbeing:</p> <ul style="list-style-type: none"> • Health care services (including health protection) • Social care services • Individual lifestyle factors • Social and community networks • Housing 		

	<ul style="list-style-type: none"> • Employment • Environment <p>The strategy is underpinned by the Marmot Report 2010.</p>
Information Available	<p><i>You should consider what information you hold in order to give proper consideration to the Equality Duty. You will need to draw upon local, regional and national research particularly if internal information is scarce. Include any consultation carried out</i></p> <p>Whilst health in Hartlepool is generally improving, it is still worse than the national average. Levels of deprivation are higher and life expectancy is lower than the national average. Both the death rate from smoking; and the percentage of mothers smoking in pregnancy are worse than the England average. Alcohol-related hospital admissions are higher than the national average and childhood immunisation rates are significantly lower than the national average.</p> <p>Key outcomes and objectives for the strategy have been developed in consultation with the public, service users and partner organisations, through the Local Involvement Networks (LINKs) membership on the Health and Wellbeing Board, democratically elected member representation on the Board and a consultation process.</p> <p>The Strategy consultation ran from June – October 2012. It consisted of:</p> <p>A face to face public event – attended by approximately 70 people representing a range of organisations from the community, voluntary and statutory sector and elected members.</p> <p>A resource-allocation exercise – set up in a range of venues including the shopping centre, the library, children’s centres, GP surgeries and youth centres. The exercise asked members of the public to allocate £25 virtual pounds across Marmot policy areas these being:</p> <ul style="list-style-type: none"> • Give every child best start in life; • Enable all children and Young People to maximise capabilities; • Enable all adults to maximise capabilities; • Create Fair Employment and good work for all; • Ensure a healthy standard of living for all; • Create and develop healthy and sustainable places; • Strengthen the role and impact of ill health prevention. <p>A total of 465 participants took part in the exercise. ‘Giving every child the best start in life’ was the most popular priority across all the venues with ‘ensuring a healthy standard of living for all’ was second most popular.</p> <p>An online survey – asked respondents to prioritise a range of suggested interventions listed under each Marmot policy area.</p>

	<p>Respondents were asked to choose the 3 most important issues under each Marmot area.</p> <p>Data from the survey was aggregated together with the findings from the resource-allocation exercise and consultation with the LINK to become the basis of the draft strategy. The draft strategy was also shared with the Clinical Commissioning Group. Key outcomes and objectives have been developed with the following in mind:</p> <ul style="list-style-type: none"> • Local authority 'mandated' services • Clinical Commissioning Group draft plans • Current JSNA commissioning intentions • Hartlepool Public Health Transition Plan. 	
Relevance <i>Identify which strands are relevant to the area you are reviewing or changing</i>	Age	√
	Disability	√
	Gender Re-assignment	
	Race	√
	Religion	√
	Gender	√
	Sexual Orientation	
	Marriage & Civil Partnership	
	Pregnancy & Maternity	√
Information Gaps	<p><i>Are there any gaps in your information and, if so, what further information do you need? What involvement or consultation is needed? How will it be done? You must also ensure compliance of any third parties which carry out functions on your behalf.</i></p> <p>As demonstrated, we have undertaken a considerable consultation exercise and we are able to analyse the data collected from the different locations where the consultation took place. However, we are aware that we are not able to analyse the data to ascertain demographic information and identify any particular characteristics that we might not have involved. It is possible that the data might be skewed as a result of the venue where the consultation took place.</p> <p>We have not consulted with any specific user groups such as people with a learning difficulty, those with mental health issues or people from the LGBT community. However, we are aware that the work undertaken for the JSNA has included consultation with these groups and as the strategy is underpinned by the JSNA, we can assume some input from those groups.</p>	

What is the Impact	<p><i>Consider the impact of the policy/service/function in respect of the three aims of the Equality Duty, this must form an integral part of your decision making process and in such a way that influences the final decision.</i></p> <p>The strategic key outcomes for the strategy have been identified as being:</p> <ul style="list-style-type: none">• Every child has the best start in life• Reduce the gap in life expectancy• Improving wellbeing for those with long-term conditions <p>Work on these outcomes will begin through tackling health inequalities and building social capital. A work programme is being developed that will support these objectives and ultimately improve the outcomes of the population of Hartlepool.</p> <p>Whilst some of the key strategic outcomes identified target a specific equality group or community such as children, the cumulative impact of the outcomes is beneficial to the population of Hartlepool as a whole. We would anticipate that implementation of the strategy would help fulfil the aims of the Equality Act 2010 by improving the health and wellbeing, reducing health inequality and improving efficiencies for the whole population of Hartlepool.</p>		
Addressing the impact	<p><i>The outcome of the impact assessment may be one or more of the following four outcomes; You must clearly set out your justification for the outcome/s.</i></p> <p>1. No Impact- No Major Change - <i>It is clear that there is no potential for discrimination or adverse impact on the above Protected Characteristics. All opportunities to promote Equality have been taken and no further analysis or action is required.</i></p> <p>2. Adjust/Change Policy - <i>You may have to make adjustments to address potential problems or missed opportunities that impact adversely on those with protected characteristics.</i></p> <p>3. Adverse Impact but Continue - <i>Your decision may be to continue without making changes, this may be the right outcome even if your assessment identifies the potential for adverse impact. (E.g. Cabinet decision to withdraw a service).</i></p> <p>4. Stop/Remove Policy/Proposal - <i>Your assessment reveals unlawful discrimination it must be stopped and removed or changed.</i></p>		
Actions			
<i>It will be useful to record and monitor any actions resulting from your assessment to ensure that they have had the intended effect and that the outcomes have been achieved.</i>			
Action identified	Responsible Officer	By When	How will this be evaluated?
Consider	Louise Wallace	March 2013	Broader involvement in the

6.1 Appendix B

broader consultation of the strategy to include specific characteristics such as older people and people from the BME communities			development of the strategy.
Look at the consultation undertaken as part of the JSNA and ensure broad involvement/identify gaps.	Louise Wallace	March 2013	Gaps identified for future consultation.
Consider targeted consultation on such groups as people with a learning disability and people with mental health difficulties.	Louise Wallace	March 2013	Broader involvement in the development of the strategy.

Date sent to Equality Rep for publishing	00/00/00
Date Published	00/00/00
Date Assessment Carried out	00/00/00

CABINET

4 February 2013



Report of: Corporate Management Team

Subject: COUNCIL PLAN 2013/14

1. TYPE OF DECISION

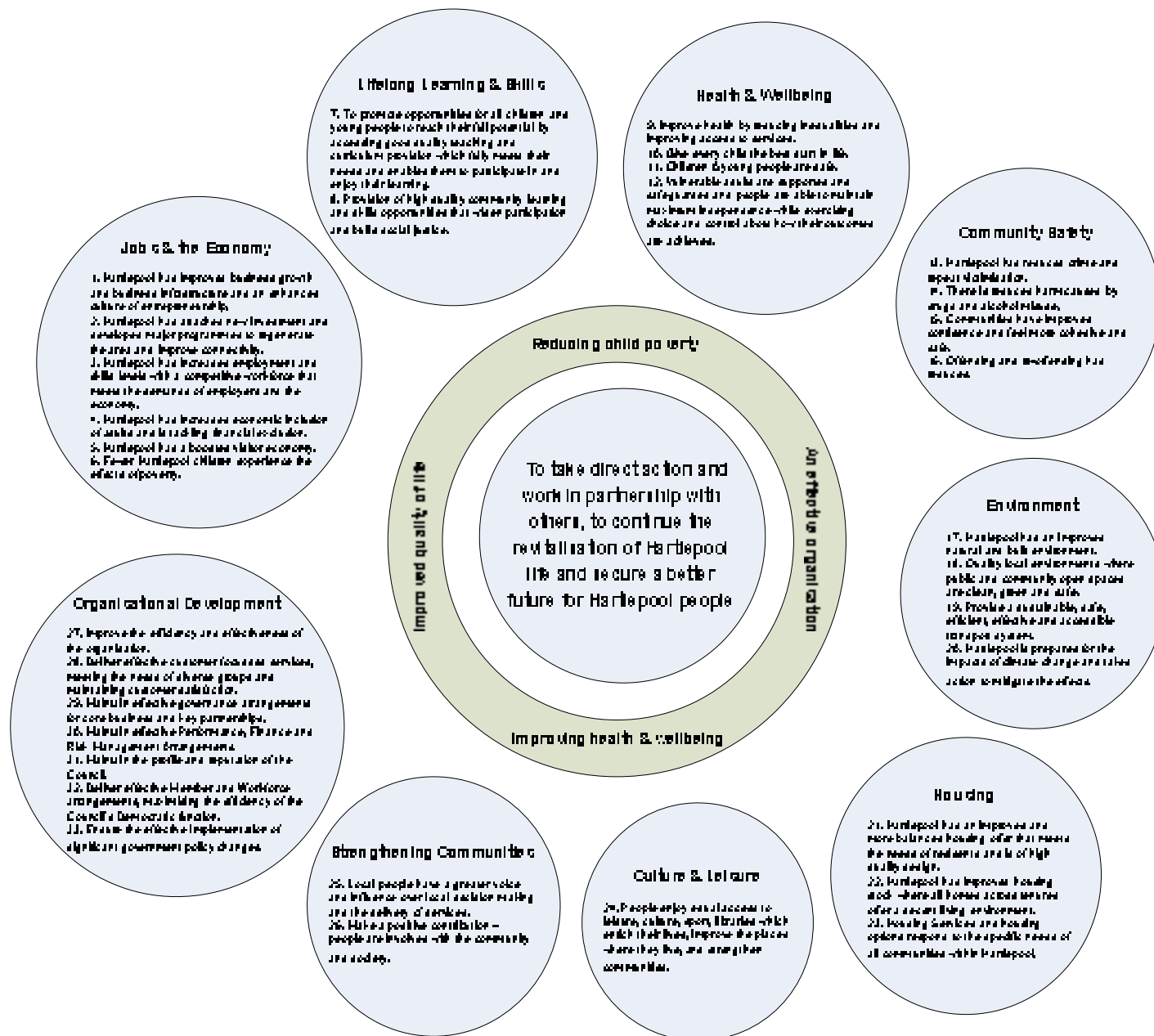
1.1 Non-key decision.

2. PURPOSE OF REPORT

2.1 To provide the opportunity for Cabinet to consider and comment on the proposed Council Plan for 2013/14.

3. BACKGROUND

- 3.1 The Council's Service Planning Framework has been developed over the last few years. In previous years the Corporate Plan has identified the key priorities for the Council, with the three Departmental Plans expanding on how the key priorities would be delivered.
- 3.2 As detailed in the report to Cabinet on 29 October 2012, from 2013/14 the three Departmental Plans are to be brought together to form the Council Plan which will set out collectively how the key priorities/outcomes that the Council have identified will be delivered. With no requirement to produce a separate Corporate Plan the unintended duplication and reporting of actions that appear in both the Corporate Plan and the departmental plans will be eliminated, without losing the focus that having three separate Departmental Plans brings to the overall process.
- 3.3 The Outcome Framework was reviewed and updated as part of the service planning process in 2012/13. Discussions took place with Council Officers from across all Departments on the revision of the Outcome Framework for 2013/14 and, as reported to Cabinet on 29 October 2012, the framework has not radically changed.
- 3.4 At the Scrutiny Coordinating Committee meeting on the 19th October 2012 Members discussed how the various outcomes supported the Council's ongoing work to tackle family poverty and the interrelationships between the various outcomes. The chart below demonstrates how the proposed outcomes contribute to the Council's overall aims.



- 3.5 As in previous years, detailed Departmental Plan proposals have been considered by Scrutiny Coordinating Committee and the other Scrutiny Forums between 4 and 17 January 2013 and collectively as the Council Plan by Scrutiny Coordinating Committee on the 18 January 2013. Due to the short space of time between that meeting and the deadline for preparing this report it has not been possible to reflect all of the comments in the proposed Council Plan as yet. However, the final draft of the Council Plan, to be considered by Cabinet on 18 March 2013, will include a detailed response to those comments and any additional comments made at this meeting or at Scrutiny Coordinating Committee on 8th March 2013.

4 2013/14 COUNCIL PLAN OUTCOME FRAMEWORK 2013/14

- 4.1 Attached to this report are the three draft Departmental Plans for 2013/14 which, together will form the Council Plan: -
- **Appendix A** – Chief Executives Departmental Plan 2013/14
 - **Appendix B** – Child and Adult Services Departmental Plan 2013/14
 - **Appendix C** – Regeneration and Neighbourhoods Departmental Plan 2013/14
- 4.2 The appendices provide detail on the proposed actions identified to deliver the outcomes that form the Outcome Framework for 2013/14. Officers from across the Council have also identified the Performance Indicators (PIs) that will be monitored throughout the year to measure progress, and the risks that could prevent the outcomes being successfully delivered. Both the PIs and risks are also included in the appendices.
- 4.3 As in previous years it is not possible at this stage to include year end outturns and future targets as these are not yet available. It is normal practice to use a number of criteria when setting targets, such as current performance, budget information and other external factors such as Government policy changes. Therefore it is normal for targets to be set around year end when more information is known. Where available, this information will be included in the proposals reported to Cabinet on 18 March 2013.
- 4.4 The Council Plan is still a working document and as such there are areas where information could change particularly where existing strategy action plans are being reviewed over the next couple of months (for example the Housing Strategy and Economic Regeneration Strategy). Where this does occur the information will be included in the final draft of the Plan.

5 NEXT STEPS

- 5.1 The final draft of the Council Plan, which will include a detailed response to the comments and observations from Scrutiny Coordinating Committee on 18 January 2013 and this meeting, will be considered by Scrutiny Coordinating Committee on 8 March 2013 and Cabinet on 18 March 2013 before being taken for formal agreement by Council at its meeting on 11 April 2013.
- 5.2 Progress towards achieving the actions and targets included in the Council Plan will be monitored through 2013/14 by officers across the Council and progress reported quarterly to Elected Members.

6. RECOMMENDATIONS

- 6.1 Cabinet are asked to consider and comment on the three draft Departmental Plans that, together, will form the Council Plan 2013/14.

7. REASONS FOR RECOMMENDATIONS

- 7.1 Cabinet, and Portfolio Holders, have overall responsibility for Performance Management.

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

- 8.1 Appendix A – Chief Executives Departmental Plan 2013/14
Appendix B – Child and Adult Services Departmental Plan 2013/14
Appendix C – Regeneration and Neighbourhoods Departmental Plan 2013/14

9 BACKGROUND PAPERS

- 9.1 (i) Item 6.1 from Cabinet on 29 October 2012
(ii) Minute 98 from Cabinet on 29 October 2012
(iii) Item 9.1 from Scrutiny Coordinating Committee on 18 January 2013

10. CONTACT OFFICER

David Hunt – Strategy and Performance Officer
Chief Executive's Department – Corporate Strategy
Hartlepool Borough Council
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6.2 APPENDIX A

Chief Executives Departmental Plan 2013/14 – Proposed Action plan

SECTION 1 OUTCOME DETAILS			
Outcome:	4. Hartlepool has increased economic inclusion of adults and is tackling financial exclusion	Theme:	Jobs and the Economy

Lead Dept:	Chief Executives	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Implement and review Discretionary Council Tax Support Framework	December 2013	Julie Pullman
Respond to Welfare Reform changes by engaging and supporting affected households	March 2014	Julie Pullman
Implement a programme of Benefits and Free School Meals take up initiatives	March 2014	Julie Pullman
Develop referral channels for adults to access financial advice services and financial products	March 2014	John Morton
Implement and Review Communication and Customer Handling Strategies linked to new Local Council Tax Support Scheme	September 2013	John Morton

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
CEDFIP026	Number of Credit Union accounts opened by adults.	John Morton	Target	Financial Year

SECTION 4 RISKS
No Risks identified

SECTION 1 OUTCOME DETAILS			
Outcome:	9. Improve health by reducing inequalities and improving access to services		Theme: Health and Wellbeing
Lead Dept:	Child and Adults	Other Contributors:	Chief Executives

SECTION 2 ACTIONS		
Action	Due Date	Assignee
Co-ordinate town wide workplace health promotion campaigns involving partner organisations and other businesses.	March 2014	Stuart Langston

SECTION 3 PERFORMANCE INDICATORS & TARGETS
No Performance indicators identified.

SECTION 4 RISKS
No Risks identified

SECTION 1 OUTCOME DETAILS			
Outcome:	15. Communities have improved confidence and feel more cohesive and safe	Theme:	Community Safety
Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	Child and Adults & Chief Execs

SECTION 2 ACTIONS		
Action	Due Date	Assignee
Assist the implementation of the Safer Hartlepool Partnership Communications Action Plan to improve public reassurance	March 2014	Alastair Rae

SECTION 3 PERFORMANCE INDICATORS & TARGETS
No Performance Indicators identified

SECTION 4 RISKS
No Risks identified

SECTION 1 OUTCOME DETAILS			
Outcome:	25. Local People have a greater voice and influence over local decision making		Theme: Strengthening Communities
Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	Chief Executives

SECTION 2 ACTIONS		
Action	Due Date	Assignee
Support the delivery of Face the Public Events by the Strategic Partners Group and Theme Groups	March 2014	Catherine Grimwood

SECTION 3 PERFORMANCE INDICATORS & TARGETS
No Performance Indicators identified

SECTION 4 RISKS
No Risks identified

SECTION 1 OUTCOME DETAILS			
Outcome:	27. Improve the efficiency and effectiveness of the organisation	Theme:	Organisational Development
Lead Dept:	Chief Executives	Other Contributors:	Regeneration and Neighbourhoods

SECTION 2 ACTIONS		
Action	Due Date	Assignee
Develop and implement the workforce plan to support the Councils corporate efficiency programme	March 2014	Rachel Clark
Review and update Medium Term Financial Strategy (MTFS)	March 2014	Chris Little
Determine and implement a revised programme to deliver the savings required in light of MTFS and budget settlement for 2013/14 and 2014/15.	March 2014	Andrew Atkin / Chris Little
Develop proposals for consideration by members in respect of collaboration for Corporate Services.	December 2013	Andrew Atkin / Chris Little
Review contract arrangements for the corporate performance management system.	March 2014	Catherine Grimwood
Review of Corporate ICT Strategy to ensure it continues to support Corporate Objectives including opportunities to use ICT to generate efficiency savings across the Authority	March 2014	Joan Chapman
Delivery of key projects identified in ICT Strategy	March 2014	Joan Chapman
Improve awareness of information security requirements and individual responsibilities through training and online communication	March 2014	Paul Diaz
Implement HR Insight corporate toolset to improve employee establishment and organisational data	June 2013	Kevin Shears
Implement HR Insight Leave Management module	December 2013	Kevin Shears
Financially model Local Council Tax Support Scheme costs and underlying assumptions	September 2013	John Morton

SECTION 3 PERFORMANCE INDICATORS & TARGETS

Code	Indicator	Assignee	Targeted or Monitor	Collection Period
CEDCS P042	Actual savings from efficiency and savings Programme (Outcome 26)	Andrew Atkin / Chris Little	Targeted	Financial Year
ICT PI 4	Percentage of ICT incidents resolved within agreed service levels	John Bulman	Targeted	Financial Year
ICT SI 3	Unavailability of ICT services to users	John Bulman	Targeted	Financial Year
CEDCS P017	Number of website hits – unique visitors	Paul Diaz	Targeted	Financial Year
CEDFIP001	Percentage of Invoices paid in 30 days	Kevin Shears	Targeted	Financial Year
TBC	Percentage of Local Supplier Invoices paid in 10 days	Kevin Shears	Targeted	Financial Year
CEDFIP002	Percentage of Council Tax Collected	Roy Horseman	Targeted	Financial Year
CEDFIP003	Percentage of NNDR Collected	Roy Horseman	Targeted	Financial Year

SECTION 4 RISKS

Code	Risk	Assignee
CED R073	Maintain skill and knowledge of appropriate employees across the Council in relation to PM, risk, consultation, complaints and data quality procedures through the Efficiency and Savings Programme	Catherine Grimwood
CED R089	Experiencing failure or lack of access to Critical ICT systems (Actively Managed)	Andrew Atkin
CED R091	Failure to have corporately adequate arrangements in place to manage and deliver the budget strategy and the savings programme	Andrew Atkin; Chris Little
CED R042	The Council is targeted by individuals / organisations in order to launder money from criminal activity	Chris Little
CED R043	Treasury management decisions on borrowing and investment fail to optimise benefit for council	Chris Little
CED R053	Poor workforce planning and development may lead to poor service delivery / behaviour by employees	Wally Stagg
CED R054	A major health and safety accident or incident may occur as a result of employees actions or inactions	Stuart Langston
CED R056	Failure of external occupational health etc suppliers / providers to consistently provide services, leading to HR not delivering services to departments.	Stuart Langston
CED R057	Failure to achieve external income leading to budget reductions resulting in a reduction of staff.	Wally Stagg

CED R068	Failure to carry out a statutory process	Peter Devlin
CED R069	Failure to support the HR aspects of the savings programme leading to a detrimental impact on services	Rachel Clark, Gillian Laight, Wally Stagg, Alison Swann
CED R072	The Council becomes a target for fraudulent activities	Noel Adamson
CED R083	Failure to provide council services during emergency conditions	John Morton

SECTION 1 OUTCOME DETAILS			
Outcome:	28. Deliver effective customer focussed services, meeting the needs of diverse groups and maintaining customer satisfaction	Theme:	Organisational Development

Lead Dept:	Chief Executives	Other Contributors:	Regeneration and Neighbourhoods
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Replace contact centre telephony solution	March 2014	Christine Armstrong
Enhance booking system capabilities	March 2014	Christine Armstrong
Improve on-line facilities for customers	March 2014	Christine Armstrong
Deliver contact centre roll-in and service development programme	March 2014	Christine Armstrong
Ensure that the Council has procedures in place to meet the requirements of the Equality Act 2010 by co-ordinating activities across departments to meet the items included in the Equality & Diversity Action Plan	March 2014	Christine Armstrong
Coordinate corporate complaints process and responses to Local Government Ombudsman complaints	March 2014	Catherine Grimwood
Provide training and support to ensure appropriate consultation mechanisms are employed by council employees	March 2014	Catherine Grimwood
Complete Viewpoint surveys 40, 41 and 42	March 2014	Catherine Grimwood
Promote and disseminate the results of the Hartlepool Household Survey	October 2013	Catherine Grimwood
Review DWP Funded Discretionary Housing Payment Policy Framework	September 2013	Julie Pullman
Develop Engagement Strategy for DWP Universal Credit Roll out	September 2013	Julie Pullman
Enhance monitoring arrangements for Registration Service performance management framework	March 2014	Christine Armstrong

SECTION 3 PERFORMANCE INDICATORS & TARGETS

Code	Indicator	Assignee	Targeted or Monitor	Collection Period
New	Average wait in seconds for telephone calls to be answered	Julie Howard	Targeted	Financial Year
New	Average wait in minutes for face to face customers without an appointment	Julie Howard	Targeted	Financial Year
New	% of Contact Centre emails handled the same day	Julie Howard	Targeted	Financial Year
New	% of Contact Centre enquires handled at the first point of contact	Julie Howard	Targeted	Financial Year
New	% of customers satisfied with Contact Centre service delivery	Julie Howard	Targeted	Financial Year
CEDCS P062	Total Complaints investigated by LGO Investigative Team (including Reports Issued)	David Hunt	Monitored	Financial Year
CEDCS P063	Number of Complaint Reports Issued by LGO Investigative Team	David Hunt	Monitored	Financial Year
COMPLAINTS P3	Total Number of Corporate Complaints Upheld or Partly Upheld	David Hunt	Monitored	Financial Year
TBC	Average number of ViewPoint Questionnaire responses	Lisa Anderson	Monitored	Financial Year
TBC	Percentage of ViewPoint Questionnaire responses made online	Lisa Anderson	Monitored	Financial Year
CEDFIP004	Average time to process new Housing Benefit / Council Tax Support claims	Julie Pullman	Targeted	Financial Year
CEDFI P005	Average time to process Housing Benefit / Council Tax Support changes in circumstances	Julie Pullman	Targeted	Financial Year
Reg1(i)	% births registered within 42 days	Elaine Cook	Monitored	Financial Year
Reg1(ii)	% still-births registered within 42 days	Elaine Cook	Monitored	Financial Year
Reg1(iii)	% deaths registered within 7 days, excluding registrations following post mortems and inquests	Elaine Cook	Monitored	Financial Year
Reg1(iv)	% deaths after post mortem registered within 7 days	Elaine Cook	Monitored	Financial Year
Reg2.A.1(i)	% birth registration/declaration appointments offered within 7 days	Elaine Cook	Monitored	Financial Year
Reg2.A.1(ii)	% still-birth registration/declaration appointments offered within 2 working days	Elaine Cook	Monitored	Financial Year
Reg2.A.1(iii)	% death registration/declaration appointments offered within 2 working days	Elaine Cook	Monitored	Financial Year
Reg2.A.1(iv)	% notice of marriage/civil partnership appointments offered within 7 days	Elaine Cook	Monitored	Financial Year
Reg2.A.2	% of registration customers seen within 10 minutes of appointment time	Elaine Cook	Monitored	Financial Year

Reg3	% registration certificate applications processed within 7 days of receipt	Elaine Cook	Monitored	Financial Year
Reg4	% of satisfied customers for registration service	Elaine Cook	Monitored	Financial Year
Reg5	Number of formal complaints received (actual and as % of all registrations)	Elaine Cook	Monitored	Financial Year

SECTION 4 RISKS		
Code	Risk	Assignee
CED R059	Failure to integrate equality into all aspects of the Council's work leading to non compliance with legislation and Council aims (Actively Managed)	Andrew Atkin
CED R052	Failure of Contact Centre to improve service delivery	Christine Armstrong
CED R028	Failure to provide Statutory Registration duties (including IT system)	Christine Armstrong

SECTION 1 OUTCOME DETAILS			
Outcome:	29. Maintain effective governance arrangements for core business and key partnerships	Theme:	Organisational Development

Lead Dept:	Chief Executives	Other Contributors:	Regeneration and Neighbourhoods
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Provide full opinion on Governance arrangements to the Audit and Governance Committee	May 2014	Noel Adamson
Support of the development and updating of the Constitution	March 2014	Peter Devlin/ Amanda Whitaker
Support of Council's Governance structure	March 2014	Amanda Whitaker
Implement findings of Peer Review Action Plan	TBA	Corporate Management Team
Evaluate the effectiveness of partnership arrangements in the Borough including the Strategic Partners Group and Theme Groups and ensure that appropriate governance arrangements are in place.	December 2013	Catherine Grimwood
Award new ICT contract	October 2013	Joan Chapman
Ensure lawfulness and fairness of decisions	March 2014	Peter Devlin
Maintain and promote Councils whistle blowing policy	March 2014	Peter Devlin
Promote and maintain high standards of conduct by members and co-opted members	March 2014	Peter Devlin

SECTION 3 PERFORMANCE INDICATORS & TARGETS
No Performance Indicators identified

SECTION 4 RISKS		
Code	Risk	Assignee
CED R037	Failure to embed risk management framework leads to service/governance failures resulting in reputation/financial loss	Catherine Grimwood
CED R094	Failure to deliver a new ICT contract	Andrew Atkin
CED R095	Failure to have in place effective governance arrangements	Andrew Atkin; Peter Devlin
CED R007	Decision making meetings not taking place due to a loss of council facilities or serious problems preventing Councillors / staff attending	Amanda Whitaker
CED R060	Failure to deliver an effective Corporate Legal Service	Alyson Camen
CED R079	Full opinion on governance arrangements not provided	Noel Adamson

SECTION 1 OUTCOME DETAILS			
Outcome:	30. Maintain effective Performance, Finance and Risk Management Arrangements	Theme:	Organisational Development

Lead Dept:	Chief Executives	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Implement reclassification and valuation of highways assets	December 2013	Chris Little
Produce statement of accounts	June 2014	Chris Little
Review 2013/14 service planning approach and make recommendations to improve service planning for 2014/15	October 2012	Catherine Grimwood
Agree and implement service planning framework for 2014/15	May 2014	Catherine Grimwood
Coordinate quarterly performance and risk reporting for 2013/14 to ensure well informed decision making and accountability of Executive and senior managers	May 2014	Catherine Grimwood
Undertake performance indicator review to ensure adherence to data quality policy	March 2014	Catherine Grimwood

SECTION 3 PERFORMANCE INDICATORS & TARGETS
No Performance Indicators identified

SECTION 4 RISKS		
Code	Risk	Assignee
CED R031	Performance management arrangement fails to operate as intended resulting in unanticipated service/governance failure within the Council / Partnership	Catherine Grimwood
CED R063	Lack of data quality for performance information results in poor decision making and worsening performance	Catherine Grimwood
CED R076	Partnership structures no longer fit for purpose resulting in relationship breakdown between Hartlepool Borough Council and key partners.	Catherine Grimwood
CED R096	Lack of data quality of consultation conducted results in poor decision making and worsening performance	Catherine Grimwood
CED R080	Statutory deadlines for the production of the Councils accounts may not be met	Chris Little

SECTION 1 OUTCOME DETAILS			
Outcome:	31. Maintain the profile and reputation of the Council	Theme:	Organisational Development

Lead Dept:	Chief Executives	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Produce 4 editions of the community magazine, Hartbeat, on a zero budget	March 2014	Alastair Rae
Ensure that appropriate mechanisms are in place to ensure effective communication in relation to new public health responsibilities	April 2013	Alastair Rae
Ensure that effective mechanisms are in place to explain the budget pressures facing the Council	June 2013	Alastair Rae
Continue to develop social networking and new media opportunities to promote the work and services of the Council	March 2014	Alastair Rae
Seize opportunities to promote Hartlepool Council and the town in general on a national and international platform	March 2014	Alastair Rae
Ensure that the public relations income generation target is met	March 2014	Alastair Rae

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
	The percentage of readers who read some or most of the content of Hartbeat	Alastair Rae	Monitor	Triennial
	Increase the number of 'followers' and 'likes' on Twitter and Facebook	Alastair Rae	Monitor	Financial Year

SECTION 4 RISKS		
Code	Risk	Assignee
CED R005	The failure to maintain a positive/excellent reputation.	Alastair Rae
CED R092	The risk of ineffective delivery of PR representation when the Council PR Team is representing more than one organisation	Alastair Rae
CED	Failure to comply with legislation leading to unlawful acts, loss of morale, poor industrial relations and / or accidents to employees	Wally Stagg

R051	resulting in industrial, criminal or civil action against the Council.	
CED R055	Significant breach of confidentiality and / or personal data security creating poor industrial relations and morale leading to criminal and / or civil proceedings and adverse publicity	Rachel Clark
CED R062	The risk of a breach of conduct by elected members / co-opted members	Peter Devlin

SECTION 1 OUTCOME DETAILS			
Outcome:	32. Deliver effective Member and Workforce arrangements, maximising the efficiency of the Council's Democratic function	Theme:	Organisational Development

Lead Dept:	Chief Executives	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Review Workforce Strategy including Member Development	March 2014	Wally Stagg
Improve the control of significant health and safety risks to ensure that they are identified and that they are appropriately managed.	March 2014	Stuart Langston
Develop and implement the Council's annual health promotion plan.	March 2014	Stuart Langston
Implement the Equal Pay Audit action plan (Year 1)	March 2014	Wally Stagg
Respond to the JNC for Local Governments Review of its Job Evaluation Scheme	March 2014	Wally Stagg
Support of the development and updating of the constitution, to reflect the changes to policy and the Law	March 2014	Peter Devlin
Provide legal advice and support to officers and members	March 2014	Peter Devlin
Support of School Admission and Exclusion Appeal Hearings	March 2014	Amanda Whitaker
Maintain and develop the statutory Scrutiny function and Work Programme	March 2014	Joan Stevens
Monitor recommendations made across all Overview and Scrutiny Investigations and report progress to relevant Committees – July 2013 and Jan 2014	March 2014	Joan Stevens
Prepare and deliver the Overview and Scrutiny Annual Report (2012/13)	March 2014	Joan Stevens

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
CEDCS P012	Percentage of draft Minutes of Non executive meetings produced within 10 days of the meeting	Amanda Whitaker	Targeted	Financial Year
CEDCS P013	Percentage of draft Minutes of Executive meetings produced within 3 days of the meeting	Amanda Whitaker	Targeted	Financial Year
CEDCS Feeder 01	Number of Non Executive Meetings requiring minutes	Amanda Whitaker	Monitor	Financial Year
CEDCS Feeder 03	Number of Executive meetings requiring minutes	Amanda Whitaker	Monitor	Financial Year
CEDCS P014	Percentage of Minutes of Executive meetings published within 4 days of the meeting	Amanda Whitaker	Monitor	Financial Year

SECTION 4 RISKS		
Code	Risk	Assignee
New	That a material safety breach of health and safety legislation is identified by the HSE resulting in a significant Fee for Intervention (FFI) being applied.	Stuart Langston
CED R088	Future and current equal pay daims including settlement of, or adverse findings in ET of existing equal pay daims	Wally Stagg
CED R061	Electoral problems / failures / legal challenges lead to Mayor / Councillors not being elected to Council	Peter Devlin

SECTION 1 OUTCOME DETAILS			
Outcome:	33. Ensure the effective implementation of significant government policy changes	Theme:	Organisational Development

Lead Dept:	Chief Executives	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Review implementation of Open Data White paper requirements	October 2013	Catherine Grimwood
Implement and monitor Local Welfare Support Scheme (Local Social Fund responsibility)	December 2013	John Morton
Implement and monitor Local Council Tax Support scheme	September 2013	John Morton
Implement Government Auto Enrolment Pension Reforms	June 2013	Kevin Shears
Implement PAYE Real Time Information programme	April 2013	Kevin Shears
Develop implementation strategies for Pension Changes 2014	March 2014	Kevin Shears
Implement Council Tax exemptions / discounts technical changes	March 2014	Roy Horseman
Implement statutory acts of compliance with regards to new and emerging legislation including commencement provisions and secondary legislation of the Localism Act 2011, Police Reform and Social Responsibility Act 2011, Protection of Freedom Act 2012 and the Health and Social Care Act 2012.	March 2014	Peter Devlin

SECTION 3 PERFORMANCE INDICATORS & TARGETS
No Performance Indicators identified

SECTION 4 RISKS
No Risks identified

Child and Adult Services Departmental Plan 2013/14 – Action Plan

SECTION 1 OUTCOME DETAILS			
Outcome:	3. Hartlepool has increased employment and skills levels with a competitive workforce that meets the demands of employers and the economy	Theme:	Jobs and the Economy

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	Child and Adult Services
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Reduce the level of young people who are Not in Employment, Education or Training (NEET) by implementing NEET Strategy.	March 2014	Mark Smith
Re-write the Hartlepool 11-19 Strategy.	March 2014	Tom Argument
Provide support for vulnerable young people to enable them to be economically active.	March 2014	Tom Argument/Mark Smith
Ensure access to high quality learning opportunities that increase the skills and qualifications of local residents via implementing the Adult Education Service Plan	July 2014	Maggie Heaps
Increase the take up of Apprenticeships by liaising with local employers to increase opportunities	July 2014	Maggie Heaps

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
NI 117	Percentage of 16 to 18 year olds who are Not in Education, Employment or Training (NEET)	Mark Smith	Targeted	Financial
NI 79	Percentage of young people achieving a Level 2 qualification by the age of 19	Tom Argument	Targeted	Financial

NI 80	Percentage of young people achieving a Level 3 qualification by the age of 19	Tom Argument	Targeted	Financial
NI 81	Percentage gap in the achievement of a Level 3 qualification by the age of 19 between those claiming free schools meals at academic age 15 and those that were not	Tom Argument	Targeted	Financial
NI 82	Percentage of young people who were in receipt of free school meals at academic age 15 who attained Level 2 Qualifications by the age of 19	Tom Argument	Targeted	Financial
NI 91	Percentage of 17 year-olds in education or training	Tom Argument	Targeted	Financial
NI 106	Percentage gap between those young people from low income backgrounds and those that are not progressing to higher education	Kelly Armstrong	Targeted	Financial

SECTION 4 RISKS		
Code	Risk	Assignee

SECTION 1 OUTCOME DETAILS			
Outcome:	6. Few er Hartlepool children experience the effects of poverty	Theme:	Jobs and the Economy

Lead Dept:	Child and Adult Services	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Develop training package for family workforce to identify poverty issues and support parents in poverty	March 2014	Danielle Swainston
Develop partnership outreach process to ensure that families understand and plan for Welfare Reform	March 2014	Danielle Swainston
Support workforce to identify risk factors re: child poverty/welfare reform and implement appropriate packages of support	March 2014	Danielle Swainston

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
NI 116	Proportion of children in poverty	Danielle Swainston	Targeted	Financial
New	Proportion of children living in workless households	Danielle Swainston	Targeted	Financial
NI 117	Percentage of 16-18 year olds who are Not in Education, Employment or Training (NEET)	Mark Smith	Targeted	Financial
NI 102a	Percentage gap between pupils eligible for free school meals and their peers achieving at least level 4 in English and Mathematics at Key Stage 2	Mark Patton	Targeted	Academic
NI 102b	Percentage gap between pupils eligible for free school meals and their peers achieving 5 A*-C grades at GCSE (and equivalent) including GCSE English and Mathematics at Key Stage 4	Tom Argument	Targeted	Academic

SECTION 4 RISKS		
Code	Risk	Assignee
CAD R029	Failure to effectively manage risks exhibited by young people and families (Actively Managed)	Sally Robinson

SECTION 1 OUTCOME DETAILS			
Outcome:	7. To promote opportunities for all children and young people to reach their full potential by accessing good quality teaching and curriculum provision which fully meets their needs and enables them to participate in and enjoy their learning	Theme:	Lifelong Learning and Skills

Lead Dept:	Child and Adult Services	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Analyse Early Years Foundation Stage Profile (EYFSP) data and challenge schools with anomalies. Provide support and Continuous Professional Development (CPD) to identified schools. Monitor impact through Foundation Stage Profile software.	September 2014	Mark Patton
Work with schools to ensure that all pupils are making progress that is in-line with or exceeds national expectations in order to achieve a secure Level 2b in reading, writing and mathematics at Key Stage 1 and provide additional support and challenge to those schools where this standard is not or is unlikely to be met.	September 2014	Mark Patton
Analyse Key Stage 2 data in English and mathematics. Identify schools below the government floor standard in combined English and mathematics and with below average progress in English and mathematics separately.	March 2014	Mark Patton
Analyse Key Stage 4 data. Identify schools below the government floor standard for 5A*-C (including English and mathematics) and report to Portfolio Holder under Council's schools causing concern.	March 2014	Tom Argument
Implement appropriate actions from Children and Young Person's Plan and 14 -19 strategy	March 2014	Dean Jackson
Provide challenge, intervention and support in inverse proportion to school success.	September 2014	Dean Jackson
Implement all actions identified in the Learning Difficulties & Disabilities (LDD) action plan	March 2014	Zoe Westley
Challenge all schools to reduce the existing achievement gap in English and mathematics between pupils in receipt of free school meals and all other pupils by accelerating the attainment and progress of these vulnerable learners	March 2014	Dean Jackson
Monitor the impact on attainment of the additional Pupil Premium funding in all schools and encourage Governing Bodies to hold their schools to account for its use.	March 2014	Dean Jackson

SECTION 3 PERFORMANCE INDICATORS & TARGETS

Code	Indicator	Assignee	Targeted or Monitor	Collection Period
New	Increase the number of pupils meeting the Year 1 Phonics standard	Mark Patton	Monitor	Academic
NI 73	Percentage of pupils achieving level 4 or above in both English and Maths at Key Stage 2	Mark Patton	Targeted	Academic
NI 93	Percentage of pupils progressing by 2 levels in English between Key Stage 1 and Key Stage 2	Mark Patton	Targeted	Academic
NI 94	Percentage of pupils progressing by 2 levels in Maths between Key Stage 1 and Key Stage 2	Mark Patton	Targeted	Academic
NI 99	Percentage of looked after children reaching level 4 in English at Key Stage 2	Zoe Westley	Targeted	Academic
NI 100	Percentage of looked after children reaching level 4 in mathematics at Key Stage 2	Zoe Westley	Targeted	Academic
NI 102a	Percentage gap between pupils eligible for free school meals and their peers achieving at least level 4 in English and Maths at Key Stage 2	Mark Patton	Targeted	Academic
NI 104	Percentage gap between pupils identified as having Special Educational Needs (SEN) and their peers achieving level 4 or above in both English and Maths at Key Stage 2	Zoe Westley	Monitor	Academic
CSD P046	Number of primary schools below the government floor standard at Key Stage 2	Mark Patton	Monitor	Academic
CSD P048	Number of primary schools with more than 15 pupils in the 15% persistent absence category for autumn and spring term combined	Jackie Webb	Monitor	Academic
NI 75	Percentage of pupils achieving 5 or more A*- C grades at GCSE or equivalent including English and Maths	Tom Argument	Targeted	Academic
NI 101	Percentage of looked after children achieving 5 A*- C GCSEs (or equivalent) at Key Stage 4 (including English and mathematics)	Zoe Westley	Targeted	Academic
NI 102b	Percentage gap between pupils eligible for free school meals and their peers achieving 5 A*- C grades at GCSE (and equivalent) including GCSE English and Mathematics at Key Stage 4	Tom Argument	Targeted	Academic
NI 105	Percentage gap between pupils identified as having Special Educational Needs (SEN) and their peers achieving 5 A*- C grades or equivalent including English and Maths at Key Stage 4	Zoe Westley	Monitor	Academic
CSD P040	Percentage of pupils achieving the English Baccalaureate	Tom Argument	Monitor	Academic
CSD P041	Percentage of pupils achieving 5 or more A*- C grades at GCSE or equivalent	Tom Argument	Monitor	Academic

New	Number of secondary schools below the government floor standard at Key Stage 4	Tom Argument	Monitor	Academic
NI 87	Percentage of Secondary school pupils who are persistently absent	Jackie Webb	Monitor	Academic
New	Number of schools with attendance above the national average for autumn and spring term combined	Jackie Webb	Monitor	Academic
ACS P096	Percentage of primary schools identified as causing concern (High and Medium/High Risk)	Dean Jackson	Monitor	Academic
ACS P097	Percentage of secondary schools identified as causing concern (High and Medium/High Risk)	Dean Jackson	Monitor	Academic

SECTION 4 RISKS		
Code	Risk	Assignee
CAD R001	Service issue as a result of insufficient budget allocation or changes in national funding/grants (Actively Managed)	Jill Harrison
CAD R004	An increase in the number of schools falling below Performance Achievement Standard (Actively Managed)	Dean Jackson
CAD R005	Failure to meet the statutory duties and requirements vested within the Child and Adult Services department (Actively Managed)	Dean Jackson
CAD R012	Failure to plan school provision appropriately	Peter McIntosh
CAD R027	Failure to meet statutory duties and functions in relation to the post 16 cohort and raising of the participation age	Mark Smith
CAD R028	Failure to provide reasonable access to safe and appropriate out of school activities for young people	Mark Smith
CAD R032	Increase in the number of schools falling below national average for pupil attendance (Actively Managed)	Dean Jackson

SECTION 1 OUTCOME DETAILS			
Outcome:	8. Provision of high quality community learning and skills opportunities that widen participation and build social justice	Theme:	Lifelong Learning and Skills

Lead Dept:	Child and Adult Services	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Ensure a wide range of learning opportunities are available which encourage participation in Lifelong Learning via implementation of the Adult Education Service Plan	July 2014	Maggie Heaps

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
ACS P053	Number of learners participating in Adult Education Programmes	Maggie Heaps	Monitor	Academic Year

SECTION 4 RISKS		
Code	Risk	Assignee

SECTION 1 OUTCOME DETAILS			
Outcome:	9. Improve health by reducing inequalities and improving access to services	Theme:	Health and Wellbeing

Lead Dept:	Child and Adult Services	Other Contributors:	Regeneration and Neighbourhoods
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Develop a corporate approach to measuring excessive winter deaths	Sep 2013	Louise Wallace
Be an active lead partner in the delivery of the physical activities workstream for Public Health	March 2014	Pat Usher
Ensure implementation of the NHS health check programme	March 2014	Louise Wallace
Implement the early detection and awareness of cancer programme across Hartlepool	March 2014	Louise Wallace
Ensure that the department has procedures in place to meet the requirements of the Equality Act 2010 by co-ordinating activities across the department to contribute to the items included in the Equality & Diversity Action Plan	March 2014	Leigh Keeble
Ensure all eligible people (particularly in high risk groups) take up the opportunity to be vaccinated especially in relation to flu	March 2014	Louise Wallace
Ensure all eligible groups for respective screening programmes are aware and able to access screening	March 2014	Louise Wallace
Ensure implementation of the Health and Wellbeing Strategy	March 2014	Louise Wallace
Review Joint Strategic Needs Assessment (JSNA) through the Health and Wellbeing board	March 2014	Louise Wallace
Influence the commissioning of effective based Stop Smoking and work collaboratively through the Smoke Free alliance to reduce illicit tobacco across the town	March 2014	Louise Wallace
Ensure the development of a comprehensive plan to protect the health of the population	March 2014	Louise Wallace
Ensure the delivery of comprehensive sexual health services	March 2014	Louise Wallace

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
NI 39	Alcohol related hospital admissions	Louise Wallace	Targeted	Financial
NI 123	Stopping smoking	Carole Johnson	Targeted	Financial
NI 123 (NRA)	Stopping smoking (Neighbourhood Renewal Area narrowing the gap indicator)	Carole Johnson	Targeted	Financial
P081	GP Referrals - The number of participants completing a 10 week programme of referred activity	Pat Usher	Targeted	Financial
P035	GP Referrals – of those participants completing a 10-week programme for the percentage going onto mainstream activity	Pat Usher	Targeted	Financial
P080	Vascular Risk Register (Vital Signs)	Louise Wallace	Monitor	Financial
NI 120a	All-age all cause mortality rate - Females	Louise Wallace	Monitor	Calendar
NI 120b	All-age all cause mortality rate - Males	Louise Wallace	Monitor	Calendar
NI 121	Mortality rate from all circulatory diseases at ages under 75	Louise Wallace	Monitor	Calendar
NI 122	Mortality for all cancers aged under 75	Louise Wallace	Monitor	Calendar

SECTION 4 RISKS		
Code	Risk	Assignee
CAD R014	Failure to make significant inroads in Health Impact	Carole Johnson; Louise Wallace

SECTION 1 OUTCOME DETAILS			
Outcome:	10. Give every child the best start in life	Theme:	Health and Wellbeing
Lead Dept:	Child and Adult Services	Other Contributors:	Regeneration and Neighbourhoods

SECTION 2 ACTIONS		
Action	Due Date	Assignee
Review and update local breastfeeding annual action plan	March 2014	Carole Johnson
Implement Child Measurement Programme	March 2014	Deborah Gibbin
Ensure a range of Physical Activity opportunities are available for children & young people (up to age 25)	March 2014	Pat Usher
Review , update and implement Smoking in Pregnancy Action Plan	March 2014	Carole Johnson
Work with partner agencies, young people, schools and families to tackle substance misuse (including alcohol)	March 2014	John Robinson
Review the Substance Misuse Service for young people and future commissioning options	June 2013	Ian Merritt
Implement the British Heart Foundation Younger Wiser Programme	March 2014	Deborah Gibbin
Review the process of Public Health Transition and ensure the transition is complete	March 2014	Louise Wallace
Increase the uptake of child vaccinations	March 2014	Deborah Gibbin
Implement the Child Poverty Action Plan	March 2014	Danielle Swainston
Develop a Children & Young People obesity pathway	March 2014	Deborah Gibbin
Implement the Early Intervention Strategy	March 2015	Danielle Swainston
Embed common assessment as a means to identify and respond to need	October 2013	Danielle Swainston
Implement the Early Years Pathway delivering targeted support to children pre birth to five	September 2013	John Robinson

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
LAA HW P001	Percentage of women smoking at time of delivery	Carole Johnson	Targeted	Financial
NI 53a	Prevalence of breastfeeding at 6- 8 w ks from birth - Percentage of infants being breastfed at 6- 8 weeks	Deborah Gibbin/Carole Johnson	Monitor	Financial
CSD P049a	Measles, Mumps and Rubella (MMR) immunisation rate – children aged 2 (1st dose)	Deborah Gibbin	Monitor	Financial
CSD P049b	Measles, Mumps and Rubella (MMR) immunisation rate – children aged 5 (2nd dose)	Deborah Gibbin	Monitor	Financial
New	Uptake of Diphtheria, Tetanus, Polio, Pertussis, Hib immunisations (by age 2 years)	Deborah Gibbin	Monitor	Financial
NI 55(iv)	The percentage of children in Reception who are obese	Deborah Gibbin	Monitor	Financial
NI 56(ix)	The percentage of children in Year 6 who are obese	Deborah Gibbin	Monitor	Financial
NI 112	The change in the rate of under 18 conceptions per 1,000 girls aged 15- 17, as compared with the 1998 rate	Deborah Gibbin	Monitor	Financial
New	Children achieving a good level of development at age 5	Danielle Swainston	Monitor	Academic
NI 117	Percentage of 16 to 18 year olds who are Not in Education, Employment or Training (NEET)	Mark Smith	Targeted	Financial
NI 75	Percentage of pupils achieving 5 or more A*- C grades at GCSE or equivalent including English and Maths	Tom Argument	Targeted	Academic
New	Number of children defined as a Child in Need, rate per 10,000 population under 18	Sally Robinson	Monitor	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
CAD R025	Failure to meet statutory duties and functions in relation to childcare sufficiency	Danielle Swainston
CAD R026	Failure to deliver Early Intervention Strategy	Sally Robinson

CAD R029	Failure to effectively manage risks exhibited by young people and families (Actively Managed)	Sally Robinson
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SECTION 1 OUTCOME DETAILS			
Outcome:	11. Children & young people are safe	Theme:	Health and Wellbeing
Lead Dept:	Child and Adult Services	Other Contributors:	

SECTION 2 ACTIONS		
Action	Due Date	Assignee
Implement the 2013-14 Youth Justice strategic plan	March 2014	Mark Smith
Implement the learning from inspection and sector lead improvement	March 2014	Sally Robinson
Develop and deliver Looked After Children (LAC) strategy 2013 – 2016	March 2016	Jane Young
Develop and deliver Looked After Children (LAC) strategy Year 1 action plan	March 2014	Jane Young
Deliver the work of the Local Safeguarding Children Board via the annual business plan	March 2014	Jim Murdoch
Implement the Early Intervention strategy	March 2015	Sally Robinson
Embed common assessment as a means to identify and respond to need	October 2013	Danielle Swainston
Implement the Early Years Pathway delivering targeted support to children pre birth to five	September 2013	John Robinson
Implement the recommendations of the Munro review	March 2014	Wendy Rudd
Embed the voice of the child and the child's journey in front line practice	March 2014	Wendy Rudd
Develop a commissioning strategy for Children in Need; Looked After Children and Children with a Disability	April 2013	Ian Merritt

SECTION 3 PERFORMANCE INDICATORS & TARGETS

Code	Indicator	Assignee	Targeted or Monitor	Collection Period
CSD P035	Children who became the subject of a Child Protection (CP) plan, or were registered per 10,000 population under 18	Sally Robinson	Targeted	Financial
NI 59	Initial assessments for children's social care carried out within ten working days of referral	Wendy Rudd	Targeted	Financial
NI 60	Core assessments for children's social care that were carried out within 35 working days of their commencement	Wendy Rudd	Targeted	Financial
NI 62	Stability of placements of looked after children: number of moves	Jane Young	Targeted	Financial
NI 63	Stability of placements of looked after children: length of placement	Jane Young	Targeted	Financial
NI 64	Child protection plans lasting two years or more	Maureen McEnaney	Targeted	Financial
NI 65	Children becoming the subject of a Child Protection Plan for a second or subsequent time	Maureen McEnaney	Targeted	Financial
NI 66	Looked after children cases which were reviewed within required timescales	Maureen McEnaney	Targeted	Financial
NI 67	Child protection cases which were reviewed within required timescales	Maureen McEnaney	Targeted	Financial
NI 43	Young people within the Youth Justice System receiving a conviction in court who are sentenced to custody	Sally Robinson	Monitor	Financial
NI 19	Rate of proven re-offending by young offenders	Sally Robinson	Monitor	Financial
NI 111	Number of first time entrants to the Youth Justice System aged 10-17 per 100,000 population (aged 10-17)	Sally Robinson	Monitor	Financial
New	Rate of assessments per 10,000 of the CYP population	Wendy Rudd	Monitor	Financial
New	Rate of section 47 enquiries per 10,000 of the CYP population	Wendy Rudd	Monitor	Financial
New	Percentage of referrals leading to the provision of a social care service (as defined by the child becoming CIN)	Danielle Swainston	Monitor	Financial
New	Percentage of referrals to children's social care from different agencies	Danielle Swainston	Monitor	Financial
New	Percentage of referrals to children's social care that result in No Further Action following referral	Danielle Swainston	Monitor	Financial

New	Percentage of referrals to children's social care that result in No Further Action following assessment	Danielle Swainston	Monitor	Financial
New	Rate of violent and sexual offences against 0-17 per 10,000 CYP population	Police – TBC	Monitor	Financial
New	Rate of children becoming subjects of a child protection plan for physical abuse	Maureen McEnaney	Monitor	Financial
New	Rate of children becoming subjects of a child protection plan for emotional abuse	Maureen McEnaney	Monitor	Financial
New	Rate of children becoming subjects of a child protection plan for sexual abuse	Maureen McEnaney	Monitor	Financial
New	Rate of children becoming subjects of a child protection plan for neglect	Maureen McEnaney	Monitor	Financial
New	Rate of Initial Child Protection Conferences per 10,000 population	Maureen McEnaney	Monitor	Financial
New	Length of time a child is considered to be a child in need at 31 March and for episodes of need that have ended during the year	Wendy Rudd	Monitor	Financial
New	Percentage of children becoming subject to a CP plan for a second or subsequent time (within 2 years)	Maureen McEnaney	Monitor	Financial
New	Percentage of child in need cases that close within 6 months of the CPP end date	Wendy Rudd	Monitor	Financial
New	Percentage of child in need cases that close within 6 months of ceasing to be looked after	Wendy Rudd	Monitor	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
CAD R019	Failure to plan for future need and ensure sufficient placement provision to meet demand (Actively Managed)	Sally Robinson
CAD R020	Insufficient capacity in the independent sector to meet placement demand (Actively Managed)	Ian Merritt
CAD R022	Failure to provide statutory services to safeguard children and protect their well-being (Actively Managed)	Sally Robinson
CAD R023	Impact of change to funding arrangements across Children's Services (Actively Managed)	Sally Robinson
CAD R024	Failure to meet statutory duties and functions in relation to the Youth Offending Service (Actively Managed)	Mark Smith
CAD R026	Failure to deliver Early Intervention Strategy	Sally Robinson

SECTION 1 OUTCOME DETAILS			
Outcome:	12. Vulnerable adults are supported and safeguarded and people are able to maintain maximum independence while exercising choice and control about how their outcomes are achieved	Theme:	Health and Wellbeing

Lead Dept:	Child and Adult Services	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Increase the number of people using assistive technology as a means to remain independent.	March 2014	Phil Hornsby
Continue to increase the number of people accessing personal budgets through focused work in mental health services, developing personal budgets for carers and continued work with health partners.	March 2014	Geraldine Martin
Further develop local arrangements to safeguard vulnerable adults, ensuring the engagement of all strategic partners and an appropriate and timely response to any new legislation that is introduced.	March 2014	John Lovatt
Implement the recommendations from the Hearing Loss Strategy, as well as supporting people with a disability into employment.	March 2014	Neil Harrison
Develop services to provide information and support to carers with a focus on short breaks and access to employment opportunities.	March 2014	Phil Hornsby
Work collaboratively with partners to implement the National Dementia Strategy in Hartlepool.	March 2014	Phil Hornsby
Continue to work in partnership with health partners to develop robust reablement services that promote maximum independence, facilitate people living in their own homes, avoid unnecessary admissions to hospital and enable timely and safe hospital discharges.	March 2014	Geraldine Martin
Continue to promote independence and facilitate recovery for people with mental health needs by increasing the numbers of personal budgets and direct payments, promoting independence and increasing volunteering and employment opportunities.	March 2014	Geraldine Martin
Continue to explore ways to improve efficiency and effectiveness of all services through benchmarking, new delivery models and collaborative working with other local authorities and strategic partners where appropriate, in order to deliver savings within adult social care that minimise impact on people using services.	March 2014	Jill Harrison
Improve the transitions process to ensure every child and young person in transition (aged 14-25) with a disability has a person centred outcome focused plan for adulthood.	March 2014	Neil Harrison

SECTION 3 PERFORMANCE INDICATORS & TARGETS

Code	Indicator	Assignee	Targeted or Monitor	Collection Period
NI 125	Achieving independence for older people through rehabilitation / intermediate care	John Lovatt	Monitor	Financial
NI 130b	Social care clients receiving Self Directed Support	Geraldine Martin	Targeted	Financial
NI 131	Delayed Transfers of Care	John Lovatt	Targeted	Financial
NI 132	Timeliness of social care assessment (all adults)	John Lovatt	Targeted	Financial
NI 135	Carers receiving needs assessment or review and a specific carer's service, or advice and information	Phil Hornsby	Targeted	Financial
NI 136	People supported to live independently through social services (all adults)	John Lovatt	Monitor	Financial
NI 145	Adults with learning disabilities in settled accommodation	Neil Harrison	Targeted	Financial
NI 146	Adults with learning disabilities in employment	Neil Harrison	Monitor	Financial
NI 149	Adults in contact with secondary Mental Health in settled accommodation	Geraldine Martin	Targeted	Financial
NI 150	Adults in contact with secondary mental health services in employment	Geraldine Martin	Monitor	Financial
P050	Access to equipment; percentage equipment delivered in 7 days.	Phil Hornsby	Targeted	Financial
P051	Access to equipment and telecare: users with telecare equipment	Phil Hornsby	Targeted	Financial
P066	Admissions to residential care – age 65+	John Lovatt	Targeted	Financial
P072	Clients receiving a review	John Lovatt	Targeted	Financial
P079	Number of Safeguarding Referrals	John Lovatt	Monitor	Financial
P085	Proportion of people provided with a reablement package in the period per 1000 population	Trevor	Monitor	Financial

	of adults (over 18)	Smith		
P086	% of people provided with a reablement package in the period as a % of clients referred for community care assessments in the period	Trevor Smith	Targeted	Financial
P087	% of reablement goals (user perspective) met by the end of a reablement package/episode (in the period)	Trevor Smith	Targeted	Financial
P088	% of people who received intermediate care or reablement package on discharge from hospital who remain at home 91 days after discharge (NI 125)	Trevor Smith	Targeted	Financial
P089	% of people who have <u>no</u> ongoing care needs following provision of a completed reablement package	Trevor Smith	Monitor	Financial
P090	% of people not completing a reablement package as a total of those starting a reablement package in the period	Trevor Smith	Monitor	Financial
P091	% of people whose need for home care intervention has reduced through the provision of a reablement package	Trevor Smith	Monitor	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
CAD R011	Failure to work in effective partnerships with NHS, including risk of cost shunting. (Actively Managed)	Jill Harrison
CAD R033	Failure to plan for future need and ensure sufficient placement provision to meet demand within adult social care. (Actively Managed)	Jill Harrison
CAD R034	Insufficient capacity in the independent sector to meet placement demand within adult social care. (Actively Managed)	Phil Hornsby
CAD R035	Increased demand on adult social care services due to demographic pressures. (Actively Managed)	Jill Harrison
CAD R037	Failure to achieve targets in relation to assessments within 28 days and annual reviews, due to increased pressures on services. (Actively Managed)	John Lovatt
CAD R038	Failure to provide statutory services to safeguard vulnerable adult. (Actively Managed)	Jill Harrison
CAD R039	Impact of change to funding arrangements across adult social care services. (Actively Managed)	Jill Harrison
CAD R040	Failure to deliver the Reablement Strategy. (Actively Managed)	Jill Harrison
CAD R043	Delayed transfers of care from hospital due to reduced capacity and changing working arrangements for hospital discharge. (Actively Managed)	John Lovatt

SECTION 1 OUTCOME DETAILS				
Outcome:	14. There is reduced harm caused by drugs and alcohol misuse	Theme:	Community Safety	

Lead Dept:	Child and Adult Services	Other Contributors:	Regeneration and Neighbourhoods	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Ensure effective integrated treatment of Drug and Alcohol services	March 2014	Chris Hart
Ensure effective criminal justice initiatives following appointment of the Police Crime Commissioner (PCC)	March 2014	Chris Hart
Strengthen safeguarding and address Hidden Harm issues within substance misuse services	March 2014	Karen Clark

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
New	Number of substance misusers going into effective treatment – opiate	Chris Hart	Targeted	Financial
New	Proportion of substance misusers that successfully complete treatment – Opiate	Chris Hart	Targeted	Financial
New	Proportion of substance misusers who successfully complete treatment and re-present back into treatment within 6 months of leaving treatment	Chris Hart	Targeted	Financial
New	Reduce alcohol related hospital admissions	Chris Hart	Targeted	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
CAD R006	Alcohol investment does not enable the provision of sufficient services to meet the increased level of need. (Actively Managed)	Michelle Chester; Chris Hart

CAD R018	Government reduces grant allocations i.e. Pooled Treatment and DIP (Drug Intervention Programme)	Michelle Chester; Chris Hart
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SECTION 1 OUTCOME DETAILS			
Outcome:	24. People enjoy equal access to leisure, culture, sport, libraries which enrich their lives, improve the places where they live, and strengthen communities.	Theme:	Culture and Leisure

Lead Dept:	Child and Adult Services	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Achieve Service Accreditation as required across community services.	March 2014	John Mennear
Develop on-line booking services across community services, including sports & culture	March 2014	David Worthington / Pat Usher
Work closely with key partners and groups to deliver programmes of activity to meet the sport and physical activity needs of the Hartlepool community, increasing participation opportunities.	March 2014	Pat Usher
Undertake a strategic lead for the delivery of Sport and physical activity through the Community Activities Network	March 2014	Pat Usher
Improve access to Culture & Information services and develop new audiences.	March 2014	David Worthington
Implement Olympic Legacy Action Plan	March 2014	Pat Usher
Implement revised sport & physical activity strategy action plan	Mar 2014	Pat Usher
Implement outcome of the agreed scrutiny report into the museum collections action plan	March 2014	David Worthington
Implement reviewed archaeology delivery arrangements to safeguard the service	March 2014	Robin Daniels
Identify, determine and evaluate alternative management arrangements for community services	March 2014	John Mennear
Revision and adoption of the Indoor Sports Facilities Strategy	May 2013	Pat Usher
Conduct twice yearly review of the Playing Pitch Strategy (2012)	March 2014	Pat Usher

Review implications of Income generation, funding, savings, charging strategies on service provision	March 2014	John Mennear
Plan and deliver a number of events, in partnership with other Cultural organisations in the Tees Valley, in relation to the festival of the North East and the centenary of beginning of World War I.	March 2014	David Worthington
To review the provision of Children's holiday craft/arts workshops across Community Services to ensure the most effective delivery and marketing methods.	March 2014	David Worthington

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
NI 9	Use of public libraries	David Worthington	Monitor	Financial
NI 10	Visits to museums and galleries	David Worthington	Monitor	Financial
LAA CL P001	Number of people from vulnerable groups engaged in culture, leisure activities and sport	Leigh Keeble	Targeted	Financial
P059 (LAA CL 003)	Overall average attendance at Mill House, Brierton and Headland Leisure Centres	Pat Usher	Targeted	Financial
P062	Number of housebound people receiving a home visit from the home library service once every 3 weeks, for as long as they require the service.	David Worthington	Targeted	Financial
PO84	Maintain & enhance the Historic Environment Record (HER) via % reviewed, edited and added.	Robin Daniels	Monitor	Financial
P011	People in organised school trips to museums / galleries	David Worthington	Monitor	Financial
	No of volunteers actively engaged for 1 hour p/w on Sport & Physical Activity delivery	Pat Usher	Monitor	Financial
	Level of external partnership funding attracted to deliver new initiatives/commissioned work in Sport & Culture	Pat Usher	Monitor	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
CAD R013	Failure to achieve required customer and visitor income levels	John Mennear
CAD R045	Failure to deliver statutory elements of the Library Service (Actively Managed)	John Mennear
CAD R049	Failure of MIS and IT systems preventing return of electronic data for funding purposes (Actively Managed)	John Mennear
CAD R053	Failure to adhere to the recommended standards regarding pool safety management (Actively Managed)	John Mennear
CAD R055	Failure to establish new partnerships and meet funding conditions of external partners in relation to grant funding, MOU's or SLA's (Actively Managed)	John Mennear
CAD R056	Lack of adequate investment in public buildings affecting ability to income generate (Actively Managed)	John Mennear

SECTION 1 OUTCOME DETAILS			
Outcome:	26. Make a positive contribution – people are involved with the community and society	Theme:	Strengthening Communities

Lead Dept:	Child and Adult Services	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Work in partnership with Parents Forum – 1 Hart (One Heart, One Mind, One Future) to design services	March 2014	Tracy Liveras
Implement the participation strategy	March 2014	Mark Smith
Work in partnership with the Children in Care Council to influence and shape corporate parenting	March 2014	Jane Young
Provide and evaluate the impact of positive activities for children and young people	July 2013	Mark Smith
Ensure a wide range of learning opportunities are available which encourage community involvement via implementation of the Adult Education Service Plan	July 2014	Maggie Heaps

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
NI 110	Young people's participation in positive activities	Beth Storey	Monitor	Financial
New	Participation in Looked After Children reviews	Sally Robinson	Monitor	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
CAD R028	Failure to provide reasonable access to safe and appropriate out of school activities for young people	Mark Smith

Regeneration and Neighbourhoods Departmental Plan 2013/14 – Proposed Action plan

SECTION 1 OUTCOME DETAILS			
Outcome:	1. Hartlepool has improved business growth and business infrastructure and an enhanced culture of entrepreneurship	Theme:	Jobs and the Economy

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Engage with existing and potential landlords, agents and developers to respond to issues raised in the property audit. (ERS1.5)	March 2014	Mick Emerson
Deliver Business Advice and Brokerage – programme of targeted account management with key businesses. Develop and maintain relationships with individual businesses (ERS1.8)	March 2014	Mick Emerson
Increase the awareness of opportunities for businesses to become involved in providing products and services to HBC and the wider public sector (ERS 1.9)	March 2014	Mick Emerson
Continued provision of Incubation support service including mentoring, pre-start support (Enterprise Coaching), financial assistance, brokerage and other initiatives. (ERS 1.12)	March 2014	Mick Emerson
Engage with schools and colleges to increase awareness of self-employment and entrepreneurship by undertaking visits by businesses to schools and visa versa. (ERS 1.13)	March 2014	Mick Emerson
Engage with DWP Providers to offer unemployed individuals a wider package of support where appropriate to enter into self-employment. (ERS 1.15)	March 2014	Mick Emerson

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
NI 171	New business registration rate - the proportion of new business registration per 10,000 resident population (aged 16+)	Mick Emerson	Monitor	Financial
RND P060	Number of jobs created	Mick Emerson	Monitor	Financial
RND P056	Percentage occupancy levels of Hartlepool business premises	Mick Emerson	Monitor	Financial
RND P085	Business stock (businesses units in Hartlepool)	Mick Emerson	Monitor	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
RND R050	Continued economic uncertainty	Antony Steinberg

SECTION 1 OUTCOME DETAILS			
Outcome:	2. Hartlepool has attracted new investment and developed major programmes to regenerate the area and improve connectivity	Theme:	Jobs and the Economy

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Research emerging funding opportunities and prepare bid submissions to secure financial resources (ERS 2.20)	Mar 2014	Gemma Day
Develop the Innovation and Skills Quarter (ISQ) to assist with the regeneration of the town centre (ERS 2.21)	Mar 2014	Rob Smith
Develop the tourism infrastructure and visitor offer through the delivery of the Seaton Carew Master Plan (ERS 2.23)	Mar 2014	Andrew Golightly

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
NI 171	New business registration rate - the proportion of new business registration per 10,000 resident population (aged 16+)	Mick Emerson	Monitor	Financial
NEW	Value of income from external funding sources	Mick Emerson	Monitor	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
RND R029	Inability to achieve external funding to support the delivery of long term regeneration targets.	Antony Steinberg
RND R050	Continued economic uncertainty	Antony Steinberg
RND R060	Failure to deliver current regeneration programmes	Antony Steinberg
RND R071	Failure to deliver local economic objectives as a result of shifts in policies and priorities of external partners.	Antony Steinberg

SECTION 1 OUTCOME DETAILS			
Outcome:	3. Hartlepool has increased employment and skills levels with a competitive workforce that meets the demands of employers and the economy	Theme:	Jobs and the Economy

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	Child and Adult Services Department
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Complete research into skills gaps in Hartlepool (ERS 3.50)	Mar 2014	Patrick Wilson
Implement the Going Forward Together model to target young people classified as the most 'high risk' of becoming NEET (Not in Employment, Education or Training).	Mar 2014	Patrick Wilson

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
NI 117	Percentage of 16 to 18 year olds who are not in education, employment or training (NEET)	Mark Smith	Target	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
RND R071	Failure to deliver local economic objectives as a result of shifts in policies and priorities of external partners.	Antony Steinberg

SECTION 1 OUTCOME DETAILS			
Outcome:	5. Hartlepool has a boosted visitor economy	Theme:	Jobs and the Economy

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Develop and implement a 2 year marketing and communication plan to raise the profile as a place to invest and visit, utilising appropriate research data (ERS 5.65)	March 2014	Jo Cole
Review and improve visitor information links between visitor locations to improve connectivity in Hartlepool. (ERS 5.66)	March 2014	Jo Cole
Develop Destination Hartlepool / Invest in Hartlepool websites and social media activity. (ERS 5.67)	March 2014	Jo Cole
Develop and deliver bespoke training courses, including the 'Discover Hartlepool' and 'My Hartlepool' projects. (ERS 5.68)	March 2014	Jo Cole
Engage with schools and colleges to raise the profile of the visitor economy to the potential new workforce through bespoke awareness raising events. (ERS 5.72)	March 2014	Jo Cole

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
RND P092	Visitor numbers	Andrew Golightly	Monitor	Financial
RND P093	Value of visitor economy	Andrew Golightly	Monitor	Financial
RND P094	Number of unique visitors to destination Hartlepool website	Andrew Golightly	Target	Financial
RND P095	Number of social media followers	Andrew Golightly	Target	Financial
NI 151	Overall Employment rate (proportion of people of working age population who are in employment)	Antony Steinberg	Monitor	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
RND R071	Failure to deliver local economic objectives a a result of shifts in policies and priorities of external partners.	Antony Steinberg
RND R050	Continued economic uncertainty	Antony Steinberg

SECTION 1 OUTCOME DETAILS			
Outcome:	9. Improve health by reducing inequalities and improving access to services	Theme:	Health and Wellbeing

Lead Dept:	Child and Adult Services	Other Contributors:	Regeneration and Neighbourhoods
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Work w ith colleagues to improve Public Health through the Health Protection and Improvement elements of the Core Public Health Strategy.	Mar 2014	Sylvia Pinkney

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
NI 184	Percentage of food establishments in the area w hich are broadly compliant w ith food hygiene law .	Sylvia Pinkney	Targeted	Financial

SECTION 4 RISKS		
Code	Risk	Assignee

SECTION 1 OUTCOME DETAILS			
Outcome:	10. Give every child the best start in life	Theme:	Health and Wellbeing

Lead Dept:	Child and Adult Services	Other Contributors:	Regeneration and Neighbourhoods
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Implement findings of the education catering consultation exercise undertake in primary schools.	Dec 13	Karen Oliver
Undertake consultation in secondary schools to identify improvements and increase the uptake of pupils taking schools meals	Mar 14	Karen Oliver

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
NI 52a	Percentage uptake of school meals – Primary Schools	Lynne Bell	Targeted	Financial
NI 52b	Percentage uptake of school meals – Secondary schools	Lynne Bell	Targeted	Financial
NSD P064	Percentage uptake of free school meals - Primary schools	Lynne Bell	Targeted	Financial
NSD P065	Percentage uptake of free school meals – Secondary schools	Lynne Bell	Targeted	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
RND R088	Failure to achieve sufficient uptake of school meals	Karen Oliver

SECTION 1 OUTCOME DETAILS			
Outcome:	13. Hartlepool has reduced crime and repeat victimisation	Theme:	Community Safety

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Deliver in conjunction with partners a strategic assessment which is monitored through the Safer Hartlepool Partnership executive.	Dec 2013	Lisa Oldroyd
Deliver the Domestic Violence strategy action plan.	Mar 2014	Sally Forth
Ensure a co-ordinated approach to meeting the needs of victims of crime & disorder taking a victim centred approach	Mar 2014	Sally Forth
Implement CCTV Action Plan	Mar 2014	Nicholas Stone

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
RPD P029a	Number of Domestic Burglaries	Ian Worthy	Monitor	Financial
RPD P028a	Number of reported crimes in Hartlepool	Ian Worthy	Monitor	Financial
RPD P031a	Number of incidents of local violence (assault with injury & assault without injury)	Ian Worthy	Monitor	Financial
RND P065	Number of repeat victims of crime	Ian Worthy	Monitor	Financial
NI 32	Number of repeat incidents of domestic violence	Ian Worthy	Monitor	Financial
RNDP047	Percentage of domestic related successful prosecutions	Ian Worthy	Monitor	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
RND R031	Failure to maintain co-operation of partners in CCTV operation	Sally Forth
RND R032	Failure of officers to fully embrace their responsibilities under the terms of Section 17, Crime and Disorder Act 1998	Sally Forth

SECTION 1 OUTCOME DETAILS			
Outcome:	14. There is reduced harm caused by drugs and alcohol misuse	Theme:	Community Safety

Lead Dept:	Child and Adult Services	Other Contributors:	Regeneration and Neighbourhoods
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Monitor Substance Misuse Action Plan as a key element of the Community Safety Plan	Mar 2014	Sally Forth

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
RND P073	Incidents of drug dealing and supply	Rachel Parker	Monitor	Financial
RND P074	Number of young people found in possession of alcohol	Rachel Parker	Monitor	Financial
NEW	Perceptions of people using or dealing drugs in the community	Rachel Parker	Monitor	Financial

SECTION 4 RISKS		
Code	Risk	Assignee

SECTION 1 OUTCOME DETAILS			
Outcome:	15. Communities have improved confidence and feel more cohesive and safe	Theme:	Community Safety

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Implement the PREV ENT action plan as guided by the Silver group.	March 2014	Sally Forth
Develop new Anti-Social Behaviour Strategy and action plan in line w ith Government policy	March 2014	Sally Forth
Monitor the implementation of the community cohesion framew ork action plan	March 2014	Adele Wilson
In conjunction w ith partners improve reporting, recording, and responses/interventions to vulnerable victims and victims of hate crime.	March 2014	Nicholas Stone
Introduce restorative practice across Safer Hartlepool partners to give victims a greater voice in the criminal justice system.	March 2014	Sally Forth

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
RPD P035	Number of criminal damage to dw ellings	Rachel Parker	Monitor	Financial
RPD P034	Number of deliberate fires in Hartlepool	Rachel Parker	Monitor	Financial
NEW	Number of individuals attending WRA P w orkshops	Sally Forth	Monitor	Financial
NEW	Number of Anti-social Behaviour Incidents reported to the Police	Rachel Parker	Monitor	Financial
NEW	Perceptions of drunk or row dy behaviour as a problem	Rachel Parker	Monitor	Financial
NEW	Number of reported Hate Incidents	Rachel Parker	Monitor	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
RND R032	Failure of officers to fully embrace their responsibilities under the terms of Section 17, Crime and Disorder Act 1998	Sally Forth

SECTION 1 OUTCOME DETAILS			
Outcome:	16. Offending and re-offending has reduced	Theme:	Community Safety

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Monitor delivery of the offending and re-offending action plan	Mar 2014	Sally Forth
Work with the Probation service to implement Fast Forward – a tenancy awareness course aimed at preparing their client group to sustain a tenancy with a view to meeting the requirements of the Good Tenant Scheme.	Mar 2014	Nicholas Stone
Embed the Think Families, Think Communities (TF/TC) approach to reducing crime and anti-social behaviour, improving educational attendance and reducing worklessness, resulting in reduced costs to the public purse.	Mar 2014	Lisa Oldroyd

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
RND P067	Re-offending rates of High Crime Causers (HCCs) (adults)	Lisa Oldroyd	Target	Financial
NEW	Number of Families Engaged through Think Families / Think Communities (TF/TC) Programme	Lisa Oldroyd	Monitor	Financial
NEW	Number of successful tenancies sustained through Fast Forward Programme	Nicholas Stone	Monitor	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
RND R032	Failure of officers to fully embrace their responsibilities under the terms of Section 17, Crime and Disorder Act 1998	Sally Forth

SECTION 1 OUTCOME DETAILS			
Outcome:	17. Hartlepool has an improved natural and built environment	Theme:	Environment

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Adopt the Hartlepool Local Plan which sets out the spatial vision, strategic objectives and core policies for the Borough for the next 15 years	Aug 2013	Chris Pipe
Adopt a Green Infrastructure SPD (Supplementary Planning Document) which will safeguard and improve the built and natural environment within the Borough.	Mar 2014	Chris Pipe

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
	None Identified			

SECTION 4 RISKS		
Code	Risk	Assignee
RND R059	Failure to provide a 'sound' Planning Policy Framework leading to a lack of clear planning guidance	Christine Pipe

SECTION 1 OUTCOME DETAILS			
Outcome:	18. Quality local environments where public and community open spaces are clean, green and safe	Theme:	Environment

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Encourage volunteer and community input into local green space management.	Mar 2014	Deborah Jefferson
Investigate funding opportunities for the development of green space areas across the town.	Mar 2014	Chris Wenlock
Consult, develop and deliver year 1 projects of capital improvements to allotment sites.	Mar 2014	Helen Beaman
Develop and deliver a more integrated approach to environmental enforcement with key stakeholders.	Mar 2014	Alison Carberry
Undertake a review of service delivery and implement changes in street cleansing, grounds maintenance and highways to reflect the proposed revisions to refuse rounds	Dec 2013	Jon Wright
Work in conjunction with partners to develop local environmental work placement opportunities that add value to the existing service by improving the quality of the local environment	Mar 2014	Jon Wright
Monitor identified Contaminated Land sites, taking action as identified.	Mar 2014	David Wilson

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
RND P070	No. of Volunteer days spent working on local green space management initiatives	Deborah Jefferson	Monitor	Financial
RND P061	Achieve Quality Coast Award for Seaton Carew beach	Debbie Kershaw	Target	Financial
RND P050	Percentage of streets that fall below an acceptable level of cleanliness	Jon Wright	Target	Financial
NEW	Number of individuals gaining work experience and accredited qualifications	Jon Wright	Monitor	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
RND R075	Financial and environmental implications of addressing contaminated land issues	David Wilson

SECTION 1 OUTCOME DETAILS			
Outcome:	19. Provide a sustainable, safe, efficient, effective and accessible transport system	Theme:	Environment

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Seek funding for highway improvements in the A689/ Wynyard area, particularly through developer contributions. (ERS 2.30) *	Mar 2014	Mike Blair
Deliver year 3 schemes as identified in the Local Transport Plan 2011 -15	Mar 2014	Peter Frost
Develop the Integrated Transport Unit through partnership, collaboration and income related strategies, sustaining core services	Mar 2014	Paul Robson

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
NI 167	Congestion – average journey time per mile during the morning peak	Peter Frost	Monitor	Financial
NI 47	The % change in the number of people killed or seriously injured in road traffic accidents during the calendar year compared to the average of the previous 3 years.	Peter Frost	Target	Calendar
NI 48	The % change in the number of Children killed or seriously injured in road traffic accidents during the calendar year compared to the average of the previous 3 years.	Peter Frost	Target	Calendar
NI 168	The percentage of principal roads where maintenance should be considered	Mike Blair	Target	Financial
NI 169	The percentage of non-classified roads where maintenance should be considered	Mike Blair	Target	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
RND R054	Failure to maintain infrastructure to acceptable standard resulting in additional cost implications through insurance claims	Mike Blair

RND R078	Failure to develop an integrated transport strategy	Paul Robson
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SECTION 1 OUTCOME DETAILS			
Outcome:	20. Hartlepool is prepared for the impacts of climate change and takes action to mitigate the effects	Theme:	Environment

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Undertake tender process for the development of a wind generation scheme at Brenda Road.	Sept 2013	Paul Hurwood
Implement actions of the Joint Strategic Needs Assessment (JSNA) Scrutiny review with regard to the environment.	Mar 2014	Paul Hurwood
Deliver the carbon reduction strategy and associated action plans	Mar 2014	Paul Hurwood
Develop and deliver a programme of community 'energy efficiency' and climate change adaption promotions	Mar 2014	Paul Hurwood
Engage with Hartlepool Chamber of Commerce to disseminate information on climate change adaptation.	Mar 2014	Paul Hurwood
Consult and promote a community 'Collective Energy Switching' programme throughout the Borough	Mar 2014	Dave Hammond
Implement changes to Waste Management Service including changes to kerbside collections; route optimisation and provision of 4 day working week for refuse operatives.	July 2013	Craig Thelwell
Secure approval and implement wave over topping protection works at the Town Wall	Mar 2014	David Wilson
Undertake phase 2 of the Seaton Carew sea defence works	Mar 2014	David Wilson

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
NI 185	Percentage CO2 reduction from local authority operations	Paul Hurwood	Monitor	Financial
NI 186	Percentage per capita reduction in CO2 emissions in the LA area	Paul Hurwood	Monitor	Financial
NI 191	Number of kilograms of residual household waste collected per household	Fiona Srogi	Target	Financial
NI 192	Percentage of household waste sent for reuse, recycling or composting	Fiona Srogi	Target	Financial
NI 193	Percentage of municipal waste land filled	Fiona Srogi	Target	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
RND R067	Failure to achieve recycling targets resulting in loss of income and additional costs.	Fiona Srogi
RND R076	Consequences of climate change through the failure of the Council to tackle climate issues locally	Paul Hurwood
RND R087	Income fluctuations in the market for recyclable materials resulting in difficulties in budget planning and forecasting.	Fiona Srogi

SECTION 1 OUTCOME DETAILS			
Outcome:	21. Hartlepool has an improved and more balanced housing offer that meets the needs of residents and is of high quality design	Theme:	Housing

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Collate information about the distribution of all registered provider tenure types across the town and use this to assess the impact of new products on tenure choice across the borough. (Housing Strategy 1A7)	Mar 2014	Nigel Johnson
Continue to achieve improvements in the number of private sector homes constructed to lifetime home standards and relevant government energy efficiency levels. (Housing Strategy 1B1)	Mar 2014	Chris Pipe

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
NI 155	Number of affordable homes delivered (gross)	Nigel Johnson	Targeted	Financial
LAA H P002	Sustainable homes constructed (Housing Strategy)	Chris Pipe	Targeted	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
RND R057	Reduction in funding for housing investment	Nigel Johnson
RND R061	Inability to meet very high levels of local housing needs including affordable housing	Nigel Johnson
RND R062	Effective delivery of housing market renewal affected by external decisions and funding	Nigel Johnson

SECTION 1 OUTCOME DETAILS			
Outcome:	22. Hartlepool has improved housing stock where all homes across tenures offer a decent living environment	Theme:	Housing

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Work with landlords to prevent homes from becoming long-term empty through early intervention.	Mar 2014	Amy Waller
Implement actions following the outcome of the consultation and evaluation of the selective licensing review.	Mar 2014	Lynda Igoe
Registered providers to improve their stock to 'decent homes plus' standard (Housing Strategy 2B2)	Mar 2014	Nigel Johnson
Support landlords to carry out energy efficiency works to deal with excess cold hazards through education and promotion of the benefits (Housing Strategy 2E2)	Mar 2014	Nigel Johnson

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
LAA H P001	Number of long term (over 6 months) empty homes brought back into use.	Nigel Johnson	Target	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
RND R015	Failure to secure funding for delivery of empty homes strategy	Nigel Johnson
RND R061	Inability to meet very high levels of local housing needs including affordable housing	Nigel Johnson
RND	Effective delivery of housing market renewal affected by external decisions and funding	Nigel Johnson

R062		
RND R053	Failure to respond to and implement changes to selective licensing	Nigel Johnson

SECTION 1 OUTCOME DETAILS			
Outcome:	23. Housing Services and housing options respond to the specific needs of all communities within Hartlepool	Theme:	Housing

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Review and monitor the impact of welfare and social housing reforms on tenancy sustainability, homelessness, tenancy satisfaction and vulnerable people on the housing waiting list.	Mar 14	Karen Kelly
Implement changes to the Choice Based Letting (CBL) scheme (Common Allocations Policy) following the review in 2012	Mar 14	Karen Kelly
Assist people to maintain independent living through the provision of minor adaptations.	Mar 14	Karen Kelly

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
RND P051	Number of households where homelessness has been prevented through Local Authority action	Lynda Igoe	Target	Financial
RPD P107	Average waiting time for a Disabled Facility Grant to be completed	Karen Kelly	Target	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
RND R070	Failure to provide correct housing advice to the public.	Lynda Igoe

SECTION 1 OUTCOME DETAILS			
Outcome:	25. Local people have a greater voice and influence over local decision making and the delivery of services	Theme:	Strengthening Communities

Lead Dept:	Regeneration and Neighbourhoods	Other Contributors:	
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Support the development of the Voluntary & Community Sector (VCS) Strategy Action Plan	Mar 2014	Fiona Stanforth
Deliver the Community Pool Funding Programme	Mar 2014	Fiona Stanforth
Develop a Neighbourhood Plan for the Rural Area of Hartlepool in line with Neighbourhood Planning policy under the Localism Act 2011	Mar 2014	Adele Wilson
Develop a Neighbourhood Plan for The Headland in line with Neighbourhood Planning policy under the Localism Act 2011	Mar 2014	Adele Wilson
Refresh the Neighbourhood Management and Empowerment Strategy Action Plan.	Mar 2014	Adele Wilson
Monitor the progress of priorities outlined in the eleven Ward Profiles developed across the town.	Mar 2014	Adele Wilson

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
NEW	Percentage of residents feeling that they can influence decisions that affect their local area	Adele Wilson	Target	Financial
RND P052	Number of voluntary and community groups supported	Adele Wilson	Monitor	Financial
NEW	Number of neighbourhood plans ratified	Adele Wilson	Monitor	Financial

SECTION 4 RISKS		
Code	Risk	Assignee
RND R056	Failure of service providers to focus resources on neighbourhood renewal areas	Clare Clark

SECTION 1 OUTCOME DETAILS			
Outcome:	27. Improve the efficiency and effectiveness of the organisation	Theme:	Organisational Development

Lead Dept:	Chief Executives	Other Contributors:	Regeneration and Neighbourhoods
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SECTION 2 ACTIONS		
Action	Due Date	Assignee
Review the Council's Commissioning and Procurement Strategy	Mar 2014	David Hart
Deliver the accommodation strategy including the vacation of Bryan Hanson House	Mar 2014	Dale Clarke
Deliver capital receipts in line with programme	Mar 2014	Dale Clarke
Develop a Facilities Management strategy	July 2013	Karen Oliver

SECTION 3 PERFORMANCE INDICATORS & TARGETS				
Code	Indicator	Assignee	Targeted or Monitor	Collection Period
	None Identified			

SECTION 4 RISKS		
Code	Risk	Assignee
RND R085	Failure to achieve the Council's Capital Receipts target because of the difficult economic climate and market conditions	Dale Clarke
RND R047	Failure to execute procurement activities within the guidelines leading to challenges to contract award decisions.	David Hart



Report of: Chief Finance Officer

Subject: WELFARE REFORMS - CUSTOMER STRATEGY

1. TYPE OF DECISION / APPLICABLE CATEGORY

Non key decision.

2. PURPOSE OF REPORT

- 2.1 The purpose of the report is to inform members of the arrangements for communicating and dealing with associated enquiries arising from the welfare reform changes to Housing Benefit and Council Tax Benefit.

3. BACKGROUND

- 3.1 As part of the national welfare reforms, the government are introducing new rules governing housing benefit entitlements in the social rented from 1st April 2013. Working age housing benefit claimants of registered housing associations or other registered social landlords will in future have their housing benefit calculated based on new government rules covering the number of bedrooms a household is deemed to need. Analysis indicates that in Hartlepool 1,666 households are potentially at risk from these changes which will result in a reduction in housing benefit entitlement. Low income pensioner households will not be affected by these new rules, only households of working age.
- 3.2 Furthermore, the existing national Council Tax Benefit (CTB) scheme will be abolished on 31st March 2013 and the Council will be implementing its own Local Council Tax Support scheme (LCTS). Central government are reducing the funding to operate the local scheme by 10% nationally, (13.4% in Hartlepool), with a requirement to protect low income pensioners. The Council has comprehensively considered a range of options for its LCTS scheme and has agreed to apply earmarked risk funding and other measures within the Medium Term Financial Strategy, to enable the Council to access government transitional grant funding

and which will permit the restriction of the cut in council tax support awards to 8.5%. In contrast, many other councils are planning to implement cuts in their LCTS scheme awards of 20%.

- 3.3 Financial modelling indicates that 8,600 households (about 1 in 5 properties in the borough) will be affected by the LCTS changes. The LCTS scheme will involve households either receiving Council Tax bills with amounts due for the first time (ie. where previously they paid nothing under the national CTB scheme) or higher amounts of Council Tax to pay. Recovery of these amounts of Council Tax will be significantly more difficult owing to pressure on household budgets and individuals will present themselves to the council in need of advice and support.
- 3.4 The key changes outlined in this report for which the council has an administrative responsibility, represent only two components of the wider welfare reforms being implemented by the Government. Many households will find themselves adversely financially impacted by a number of these changes and the cumulative financial effect on households could be significant. These changes will be extremely challenging for household budgets and will also impact on the local economy given the relatively high level of welfare benefit recipients within the borough.

4. SOCIAL RENTED SECTOR/ HOUSING BENEFIT CHANGES

- 4.1 Effective partnership working and sharing of data between the Council and registered social landlords has been undertaken to identify those households at risk from this change. Under the government's new rules, where households are considered to have one or more surplus bedrooms Housing Benefit will be reduced. The amount allowed for rent and any service charges will be reduced by:
 - 14% where a household has 1 surplus bedroom
 - 25% where a household has 2 or more surplus bedrooms.

The new rules state that a bedroom is required for each of the following:

- A couple
- A single person over the age of 16 years
- Two children of opposite sex (ie. boy and girl) under the age of 10
- Two children of the same sex under the age of 16 or a single child under the age of 16
- An overnight carer, where required

- 4.2 Analysis has identified 1,666 households in Hartlepool at risk from this government change and breakdown on a ward basis is shown in the following table:

**Properties affected by new Bedroom Criteria rules
by Ward**

Ward	1 surplus bedroom 14% reduction	2 surplus bedrooms 25% reduction	Total properties subject to a reduction
Burn Valley	31	7	38
De Bruce	217	46	263
Fens and Rossmere	67	13	80
Foggy Furze	129	30	159
Hart	22	5	27
Headland and Harbour	201	60	261
Jesmond	168	58	226
Manor House	279	69	348
Rural West	11	1	12
Seaton	75	31	106
Victoria	118	28	146
Total	1318	348	1666

- 4.3 In Hartlepool, registered social landlords have in 2012 been proactively undertaking engagement exercises with those tenants at risk from the rules change, to raise awareness and provide advice. The Council has supplemented these arrangements by issuing a letter on 21st January 2013 to formally notify all potentially affected households of the impending changes. The Council letter also details the household composition information currently held within the council's benefits system, offering claimants the opportunity to correct any inaccuracies in that data before the new 2013/14 housing benefit entitlements are calculated in Mid March 2013.
- 4.4 The Council's Benefits Service administers on behalf of the DWP a Discretionary Housing Payment (DHP) scheme. The DWP are providing the Council with some additional DHP funding to assist with the impact of the new bedroom rules changes. However the new funding allocation for the rules changes in 2013/14 for Hartlepool is £62,000 which is equivalent to £37 for each of the 1,666 households at risk.
- 4.5 Whilst the level of housing benefit loss will vary between households depending on financial circumstances, some broad modelling by Housing Hartlepool for their tenants indicates that for a typical 3 bedroom property a 14% reduction would equate to a loss of £11.87 a week and a 25% reduction would equate to a loss of £21.65 a week.

- 4.6 Furthermore, the DWP have issued guidance that local authorities should seek to prioritise the additional £62,000 on two types of household, those that undertake foster caring (and thereby need additional bedrooms) and those claimants that have had their property adapted linked to their disability and which would compromise their ability to move to other smaller accommodation. This funding is to be welcomed and the Council's DHP policy is currently being amended to reflect the new responsibilities and a report will be submitted to Cabinet in late February / early March. However, it is clear that the available funding will be insufficient for the scale of the government's changes.

5. LOCAL COUNCIL TAX SUPPORT SCHEME (LCTS)

- 5.1 As detailed earlier in the report, the Council will be implementing a LCTS scheme that will mean a 8.5% cut in awards for working age households.
- 5.2 The majority 96%, of existing Council Tax Benefit working age claimants who will be affected by the new LCTS changes reside in Band A and B properties. Claimants fall into two distinct groups:
- **Passported** - cases that currently receive full Council Tax Benefit i.e. households in receipt of DWP Income Support, Job Seekers Allowance (Income Based) or Employment and Support Allowance (Income Based). There are about 6,000 households in the borough that will be affected by the LCTS scheme that fall within the Passported group, who will for 2013/14 receive a council tax bill to pay where previously under the council tax benefit system they paid no council tax.
 - **Non Passported** - current council tax benefit claimant households that receive part Council Tax Support. There are about 2,600 households in this category. For these households, who currently pay some council tax, their council tax bill will be higher in future.
- 5.3. As a LCTS award will continue to be a means tested benefit, the actual level of support will be dependent on each household's particular financial circumstances. However, for illustrative purposes the following table shows, as an average, the extra amounts households will have to pay

Illustrative Average Impacts of an 8.5% Cut In LCTS Entitlement for 2013/14

	Passported Number Impacted	Passported cases Average Amount to pay.	Non Passported Number Impacted	Non Passported cases Average Amount extra to pay.
		£ pa		£ pa
Band A	5,476	78	2,110	58
Band B	381	93	278	62

As the level of awards under the current Council Tax Benefit scheme are higher for passported cases than non passported cases, the application of a flat rate percentage cut on the size of awards has a greater impact on passported cases.

- 5.4. Each of the 8,600 households affected by the LCTS scheme changes will receive a letter in February 2013. The letters will be issued in two blocks of 4,300 letters on 4th February and 11th February. These letters will explain that:
- the CTB / LCTS changes are part of central government's welfare reforms
 - the government are reducing funding to councils to operate their LCTS schemes
 - the Council has worked hard to minimise the financial impacts of the government's changes
 - unless a household's financial circumstances change (which the claimant is responsible for notifying the council of) the claimant's LCTS award will be calculated by the Council using information that the Council currently holds within its benefits database.
- 5.5. These LCTS awareness letters will give an indication of the amount of extra council tax that a particular household will have to pay because of the benefits scheme changes. The letters will also advise and encourage the public to consider their preferred way of paying their Council Tax, and their preferred frequency of paying ie. weekly, fortnightly, monthly, and also whether they wish to pay by Direct Debit or via the Paypoint network which covers post offices and shops (the Council will arrange for issue of a Paypoint payment card in such circumstances). The objective of this letter is to provide early warning of the LCTS changes and to make it as easy as possible for the public to pay and hence maximise collection rates.

6. CUSTOMER CONTACTS

- 6.1 Working closely with Hartlepool Connect and the Assistant Chief Executive an integrated plan for dealing with customer contacts has been developed. It is anticipated that the February 2013 LCTS awareness letters will result in a large number of contacts from the public. Broad modelling of the anticipated type of customer contact channel that will be used by claimants i.e. telephone, face: face has been undertaken and staff resourcing plans have been compiled.
- 6.2 A number of experienced and trained Revenues and Benefits back office staff currently work part time and a commitment has been secured that these officers will for temporary periods of forecast high contact demand, work additional hours. Hartlepool Connect have also developed their own staff resourcing plans to deal with the forecast additional face to face contacts. The funding of these additional temporary staff resources is covered in section 7 of this report.
- 6.3 In mid to late March 2013, the 2013/14 Council Tax bills, 2013/14 actual LCTS entitlement letters and 2013/14 Housing Benefit entitlement letters (which will reflect the actual bedroom rules changes reductions) will be issued. Staff resourcing plans similar to those outlined in section 6.1. and 6.2 have been compiled covering this critical period.
- 6.4 Detailed information scripts and frequently asked question standard responses have been prepared by Revenues and Benefits officers and all front line Hartlepool Connect staff will receive training covering the welfare reform changes, the use of the scripts and how to complete certain tasks directly into the back office computer system.
- 6.5 The telephone handsets used by Revenues and Benefits back office staff will for forecast high demand contact periods be network linked together to minimise the risk of the public not being able to speak to an officer. It is anticipated that the number of networked handsets will provide the necessary capacity and resilience. In addition the council's web site is being refreshed to provide the latest information and to be easier to access.
- 6.6. In recognition of the potential need to be agile and respond to situations, should Hartlepool Connect have insufficient resources to cope with higher than expected numbers of personal callers, a number of Revenues and Benefits back office officers have been identified to provide an additional temporary pool to supplement staffing levels. It is hoped that this measure will not prove necessary, however management floor walking monitoring will be in place covering the identified critical periods, so that staffing levels can be quickly adjusted as required.
- 6.7. Given the forecast high levels of customer contact particularly in the period 12 March to 23rd March, the Council will offer a Revenues and Benefits back office telephone service on the morning of Saturday's 16

and 23 March and in addition will offer a back office telephone service until 6pm on Monday to Thursdays for weeks commencing 11th and 18th March. These arrangements will be publicised via the council's web site and through a press release.

- 6.8. Some individuals may contact the council with complex multiple debt problems and / or money management issues. This may be related to the compounding effect on individual households of the wide range of welfare reform changes. Given the specialist nature of the type of advice these customers will require, such individuals will be signposted to the council's partner West View Advice and Resource Centre. Officers are currently working with West View to determine the number, location, scope and cost of additional advice sessions.
- 6.9. The Council's March Heartbeat publication (published first week in March) and the annual Council Tax leaflet that is distributed with the Council Tax Bills are two further mediums that will be used by the Council to explain the changes, how the public can obtain more information and set out the extended arrangements for contacting the Council.

7 IMPLEMENTATION FUNDING

- 7.1. As part of the government's New Burdens commitment to mitigate the administrative financial impact of national policy changes, funding has been provided to assist local authorities prepare and implement the welfare reform changes.
- 7.2. The Council is committed to paying its Benefits ICT system software supplier to make the necessary system changes to enable the council to administer the welfare reform changes. In addition, the available funding will be applied to resource supplementary Revenues and Benefits back office staff inputs, additional resource within Hartlepool Connect and additional community advice sessions to be delivered by the existing provider.
- 7.3. Details are currently being worked up but indications are that the cost impact of the measures the Council plans to implement will be within the central government funding envelope of about £84,000.

8. CONCLUSION

- 8.1 The Government's welfare reforms will present significant financial, health and social challenges for those councils serving communities with relatively high levels of deprivation. In Hartlepool under Council Tax Benefit, 1 in every 3 households is currently receiving some level of support with their council tax bills. In addition the future bedroom rules will similarly affect 1 in every 3 working age households in the social

rented sector. The compounding effect of changes to housing and council tax benefit together with other welfare reforms will impact directly on the individual and the local economy from reduced spending power.

- 8.2. The Council has developed comprehensive and integrated plans to increase awareness of the changes and encourage claimants to engage with the Council. The plans have been developed to provide a framework for dealing with customer contacts covering staffing, training, and access. The plans provide the foundation for dealing with customer needs in a professional and efficient way however, it is acknowledged that they need to be supported by effective daily monitoring arrangements and the ability to respond quickly to unforeseen issues that may arise.
- 8.3 The Council continues to work closely with registered social landlord partners sharing information and has via a recent letter in January 2013 notified each household at risk from the new bedroom rules as to their position encouraging them to speak to their landlords who will provide advice and support.
- 8.4. Neither the impending bedroom rules or the LCTS scheme changes will impact on low income pensioners who are protected from the changes.

9. RECOMMENDATION

- 9.1. It is recommended that Cabinet notes the report and endorses the measures being taken to support individuals with two significant future welfare reform changes.

10. REASON FOR RECOMMENDATIONS

- 10.1 To enable Cabinet to note the response plans for communicating and advising the public during the implementation of two welfare reforms.

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

- 11.1 None.

12. BACKGROUND PAPERS

- 12.1 Cabinet report Localisation of Council Tax Support. 2013/14, 17th December 2012

13. CONTACT OFFICER

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CABINET REPORT

4 February 2013



Report of: Directors of Child and Adult Services & Regeneration and Neighbourhoods

Subject: PRIORITY SCHOOLS BUILDING PROGRAMME

1. TYPE OF DECISION/APPLICABLE CATEGORY

Non-key.

2. PURPOSE OF REPORT

- 2.1 To update on the Department for Education's (DfE) proposals for the Priority Schools Building Programme (PSBP) and the current position for Hartlepool's schools.

3. BACKGROUND

- 3.1 A report was submitted to Cabinet on 24 October 2011 indicating that expressions of interest for the PSBP had been submitted to Partnerships for Schools – now known as the Education Funding Agency (EFA) for the following four Hartlepool schools:

- Manor College of Technology
- Barnard Grove Primary School
- West View Primary School
- Holy Trinity Church of England Primary School

- 3.2 On 24 May 2012, the Secretary of State announced the names of the schools to be taken forward into the PSBP. The Council was informed that three out of four expressions of interest made had been successful, these being:

- Manor College of Technology
- Barnard Grove Primary School
- Holy Trinity Church of England Primary School

- 3.3 On 19 June 2012, a further report was submitted to the Portfolio Holder for Children and Community Services, outlining Phase 2 of the Schools Capital Works Programme for 2012/13.
- 3.4 The report sought approval for schemes which had become necessary since the Phase 1 Programme was approved in March 2012 and included schemes for West View Primary School as it had not been successful for the PSBP. The Portfolio Holder approved the recommendations in that report.
- 3.5 As explained in the 19 June 2012 report, further details in relation to a Phase 3 programme would be forthcoming as soon as the PSBP announcement had been made and further clarity had been obtained.
- 3.6 It was expected that the Council would be contacted by the EFA shortly after 24 May 2012 announcement in order to give an indication when work would start to develop proposals for these schools. The respective Governing bodies and Cabinet will need to make a decision at some point on whether they feel able to take the programme forward and that decision will be made once further details of the Terms and Conditions of the Private Finance Initiative (PFI) arrangements are known.
- 3.7 On 20 July 2012, the Council received correspondence from the EFA which stated that the PSBP will be delivered by grouping schools together into 'batches'. The process to group the schools would take into account a number of factors including condition, geography and commercial viability i.e. ensuring that there will be a healthy competition for the work which will deliver value for money for the public purse. As far as possible, the needs of the schools in the worst condition will be addressed first.
- 3.8 In Hartlepool's case, the projected contact date stated by the EFA is not until the spring of 2015. They scheduled a meeting with the Council on 21 November 2012 to share information on how the programme will be delivered and address any specific questions or concerns generated at this early stage. More information on the outcomes of the meeting are described later in this report.
- 3.9 Given the projected lengthy timescales before the EFA intend to make any formal arrangements for contact about the 2015 programme and the fact that Manor College and Barnard Grove are in urgent need of condition related works it has been necessary to seek approval for a number of projects. A report identifying the works needed was approved by the Portfolio Holder for Children and Community Services on 4 December 2012 and arrangements are now in place to progress these works.

4. PSBP - PROGRAMME OVERVIEW

- 4.1 A representative from the EFA has met LA officers, Headteachers and Governors from the three Hartlepool schools to provide a briefing and

overview of the Programme. It was confirmed that the initial formal contact on programme development would be during the second quarter of 2015.

- 4.2 The EFA are responsible for and will manage the procurement as the 'single intelligent client'. Schools are key stakeholders and will be consulted as part of the procurement. Local Authorities and Dioceses will support the process providing key information and securing approvals where necessary.
- 4.3 The key driver for the programme is to provide essential improvement in the condition of the schools' estate. As a guide, space requirements provided will be around 15% less than indicated in the DFE's Building Bulletin (BB) 98 (secondary), around 5% less than BB99 (primary) and around 25% less than BB102 (special), with the aim that the buildings will be functional and fit for purpose. Baseline designs have been published by the EFA and are being shared with contractors to make the design process more efficient and effective. Local Authorities and schools are being advised to expect simple, modest designs which will be influenced by the EFA baseline designs although bidders will be making their own proposals.
- 4.4 The EFA have been working up a 'kit of parts' that contain suites of teaching spaces, hall and dining, sports and administration. The teaching and learning areas are in suites that can accommodate various room sizes and distributions of practical and general subjects. All schools will have a clear plan that is compact and efficient and is suitably adaptable for different departmental adjacencies with part of the school being able to be isolated for evening and weekend use. Designs will be modified in the event that some of the old school is retained.
- 4.5 Designs will be required to demonstrate a low cost but effective solution using natural ventilation and daylight as much as possible. Buildings must be comfortable to work in and solutions must tackle overheating issues. Temperature solutions must be simple to operate and allow for users to easily adjust the temperature and the ventilation. All buildings must contain highly insulated walls and roofs.
- 4.6 There are a number of steps to follow as the programme progresses:

a) Pre OBC Approval

Design Feasibility – Constraints

- Placement
- Massing
- Phasing
- Site Access
- Abnormals

School Specific Briefing – Information Requirements

- Initial Schedule of Accommodation (SoA)
- Generic Output Specification
- School Specific Brief
- Services Output Specification (including soft/hard FM split)

(OBC Approval)

b) Pre OJEU notice

- Make any further adjustment to the School Specific Briefing Information
- Finalise SoA based on curriculum analysis
- Adjacencies diagram
- Area Data Sheets, including furniture
- Baseline Design illustrates a response to the new Standard Specification, Budget and a similar SoA

c) Pre Selected Bidder (Dialogue)

Three bidders design the first school in competition.

d) Pre Financial Close (Selected Bidder Phase)

- Detailed Planning permission sought for all schools.
- Engagement with subsequent schools as per first school.
- Discuss Furniture and Equipment and ICT with first school.

e) Post Financial Close - Reviewable Design Data

Schools' opportunity to influence:

- Colours for paint and flooring;
- Light zoning;
- Signage;
- Lock suiting.

4.7 The two phases that make up the programme take up to the following times respectively:

1) Procurement Phase - 18-21 months

- 6-9 months feasibility and OBC
- 12 months procurement

2) Build Phase

- Varies depending on scope of project but typically 12-18 months

4.8 The procurement will only cover fixed furniture and any additional furniture needed to address basic need. It is assumed that schools will use their existing furniture and equipment and/or supply any additional requirements by managing their own budgets over time. The procurement will cover ICT infrastructure 'to the wall' with the school transferring and/or supplying ICT devices and equipment.

- 4.9 At this stage, the Council is being made aware of the programme and it will be another 18-24 months before the more detailed work will be required. In the meantime, the Council needs to retain its monitoring and enabling role.

5. ROLES

5.1 School

- Provide information for the feasibility study e.g. number of pupils (this equates to school area), current contracts, current curriculum and school organisation.
- Articulate school specific requirements e.g. science specifications.
- Support stakeholder engagements and communication – specific enquiries.
- Provide feedback on bidder's proposals.
- Agree to maintenance arrangements for hard FM.
- Signing up to Governor's Agreement.

5.2 Education Funding Agency

- Leading on aspects of work for projects in the Batch.
- Project and risk management, coordinating other team members.
- Engagement with core stakeholders.
- Point of contact.
- Providing technical, design, commercial and ICT support through the use of nationally procured external consultants.

5.3 Local Authority

- Providing support and advice, information, coordination of all LA functions e.g. planning, information needs, land title, technical, school improvement and development.

5.4 Governing Body

- Governing Body Agreement.

6. PROGRAMME PREPARATIONS

- 6.1 Working in close partnership, schools, the LA and Dioceses should prepare and implement only essential maintenance programmes. Investment in ICT and loose furniture and equipments should continue as normal as these items will be transferred into the new buildings. Schools and the LA are encouraged to become familiar with the Baseline Design Materials and develop ideas and information for school specific requirements. In addition, we are asked to inform the EFA if there are any concerns for example, on

land issues, listing of buildings, or contracts that might need more than 12 weeks to resolve.

- 6.2 Subsequent to the initial meeting, schools have asked that termly meetings are held with the LA and if possible a representative from the EFA in order that we are all better prepared to deal with their requirements especially in the periods leading up to the preparation of an Outline Business Case and Financial Close.

7. PFI PROPOSALS

- 7.1 Under the new PFI model, main contractors will no longer provide soft facilities management (FM) services such as catering, cleaning and grounds maintenance, reducing the income they can expect to derive from the contracts over their lifetime. They will also no longer be expected to carry the risk for changes to law, such as Building Regulations that under the current model sees them picking up a share of the costs with the Local Authority. This will fall to the school or local authority, further details are awaited.
- 7.2 As well as soft facilities management, ICT service delivery will be retained by PFI schools, with the contractor taking hard FM and lifecycle services and ICT infrastructure. TUPE issues on soft FM will be avoided but will need to be addressed on hard FM where the Council's in-house teams provide services.
- 7.3 Hard maintenance costs is the area that has the biggest area of risk to contractors and schools. In this new contract, the lifecycle maintenance regime is much stronger with a clear protocol for the provision of lifecycle spend plans and data, which will help all parties understand the true cost of ownership. It will require the contractor to be much more focused on how they develop, procure and manage lifecycle. This also allows for any lifecycle surplus to be shared between the school and the contractor.

8. FINANCIAL CONSIDERATIONS

- 8.1 There are no direct financial considerations arising from this report however it should be noted that there is an ongoing need to maintain an appropriate level of funding to ensure the safety and security of the three schools' environment until such time that they transfer to the new buildings provided by the PSBP. It is worth noting the various references to risk around the expected PFI arrangements. Although the LA responsibilities have diminished, there will still be a significant coordination and enabling role to be undertaken in dealing with schools and their Governing Bodies, Dioceses and the EFA amongst others.
- 8.2 Schools are particularly interested in the potential ongoing PFI costs in relation to hard FM services. It is not until these costs become clearer that

schools and the Council can fully understand the financial commitments required.

9. LEGAL CONSIDERATIONS

- 9.1 Although no agreements are required to be signed at this early stage, the report highlights the main areas for consideration and the implications that are evident that will require further investigation and work thereafter. For example, one of the identified areas of work will be around the TUPE implications of maintenance work. No account has been made for any of these three schools becoming an Academy.

10. ASSET MANAGEMENT CONSIDERATIONS

- 10.1 As the three schools have been accepted into the PSBP, it is prudent to begin some early investigation work in order to identify any issues that will need to be highlighted to the EFA. There are likely to be some site issues arising with ownership and site access. In addition, keeping schools and their Governing Body/Dioceses up to date and informed will be a key issue as eventually Governors will be required to sign up to the PFI deal put to them. Preparing schools for the Programme will become more demanding as we go forward especially as they will need to begin some preparatory thinking on the issues they are to face as they enter the Programme.

11. RECOMMENDATIONS

- 11.1 To note the contents of this report and to request that further reports be brought forward as the Priority Schools Building Programme progresses.

12. APPENDICES

12. There are no appendices to this report.

13. BACKGROUND PAPERS

Cabinet report – 24 October 2011

Children's and Community Services Portfolio report – 4 December 2012

14. CONTACT OFFICER

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CABINET REPORT

4th February 2013



Report of: Director of Child and Adult Services

Subject: LOW LEVEL SUPPORT SERVICES PROVIDED BY WHO CARES (NE): UPDATE AND NEXT STEPS

1. TYPE OF DECISION/APPLICABLE CATEGORY

No decision required – update for information only.

2. PURPOSE OF REPORT

- 2.1 There was agreement in a Cabinet meeting on 30 August 2011 that a report updating Members on progress of the connected care service across the town would be provided by March 2013.
- 2.2 This report provides Cabinet with an update on services commissioned from Who Cares (NE) from October 2011 – November 2012.

3. BACKGROUND

- 3.1 On 30 August 2011, Cabinet reaffirmed the decision made at the Adult and Public Health Services Portfolio meeting on 28 March 2011 to award a contract covering Connected Care Navigation Services, the Handyperson Service and Supported Access to Independent Living Services (SAILS) to Who Cares (NE) for a period of up to 2 years to March 2013, with an option to extend a further twelve months subject to satisfactory performance and funding being available.
- 3.2 The contract was awarded from 1 November 2011 by which point Cabinet's requirements regarding extended Board membership, agreement of a payment schedule and the provision of audited accounts had been met.
- 3.3 In May 2012, a six monthly monitoring review of the contract was completed. The review was facilitated through inspection of the organisation, its policies and working practices, statistics of volume and success of the services provided to people and customer feedback received by the organisation.

- 3.4 The services commissioned from Who Cares (NE) are relevant to Cabinet as they form part of the low level support and reablement model that is being delivered across health and social care, affecting all wards within the town.
- 3.5 The recent regional evaluation of reablement services demonstrated that Hartlepool is delivering a robust reablement pathway and that the low level services are an important and integral part of that pathway.

4. CURRENT POSITION

- 4.1 Who Cares (NE) is a Community Interest Company (CIC) with Board membership involving representation from the North, Central and South areas of the borough. The Board meets bi-monthly and is supported by an Advisory Group which also meets bi-monthly with membership drawn from a range of organisations including Hartlepool Borough Council, Housing Hartlepool, HVDA, Hartlepool Carers, MIND and the PCT.

The current Board membership includes 2 people from the North, 3 people from the South and 4 people from the Central area of the town. 7 people have resigned since the inception of the Board in October 2011; 3 people citing work commitments, 3 people citing family circumstances and 1 person ill-health. Who Cares (NE) are currently seeking to replace those Board members who have moved on.

- 4.2 The current contract with Who Cares (NE) was awarded on 1 November 2011 and ends on 31 March 2013. The contract has a total value of £340k per annum (part year effect in 2011/12) and covers three elements of service:

- Navigators across the borough: £100k (£50k from PCT base budget and £50k from HBC base budget);
- Continuation of the town-wide Handyperson Service and delivery of a town wide Supported Access to Independent Living Service (SAILS) including advice, information, sign-posting, luncheon clubs, welfare notices, social activities: £240k (£120k from PCT funding for social care and £120k from PCT reablement funding).

- 4.3 Funding is used to provide:

- A navigator service available in North, Central and South Hartlepool. The navigators support people to access other services and providers and may also directly provide a service where appropriate;
- Benefit and Welfare Advice Service available in North, Central and South Hartlepool;
- Handyperson Service across the borough, providing low-level adaptations to support people to live independently at home;
- Luncheon Clubs predominantly still in the South but now being set up in North and Central Hartlepool as well;
- Welfare notice system in place across the borough. Welfare notices enable people to self-refer or be referred into the SAILS service and

receive that ‘little bit of help’ which may prevent the escalation of their difficulties and access them to more costly secondary services.

4.4 Staffing comprises:

- 1 Manager;
- 1 Navigator / SAILS Co-ordinator;
- 1 Navigator / Housing Intervention;
- 2 Navigators;
- 3 SAILS Development Workers;
- 1 Handyperson Co-ordinator;
- 2 Handypersons;
- 1 Monitoring / Performance Data Analyst / Administration;
- 2 Modern Apprentices;
- 1 Benefits Advice Worker (Commissioned through WVARC).

4.5 Who Cares (NE) promote their services within North, Central and South Hartlepool with leaflets and posters available in public buildings such as libraries and community centres. HBC have shared information with social care staff and delivered a recent programme of training on the SAILS and reablement pathway. This training has also been delivered to GPs, Clinical Commissioning Group, Fire Brigade, Police, Housing Hartlepool, museums and libraries. Information regarding SAILS and welfare notices has been shared with the Adult and Community Services Scrutiny Forum through their investigation into Reablement and Early Intervention and with the Shadow Health and Wellbeing Board. Both forums acknowledged the value of low-level support services and the ‘good neighbour’ approach in supporting people to live independently in the community.

5. CONTRACT REVIEW PERFORMANCE REPORT

- 5.1 The six month monitoring review stated that “the Provider contributes to improving people’s lives, promoting their independence, safety and wellbeing, preventing social isolation and exclusion, supporting people to live as independently as possible within their own homes and contributing towards timely, safe hospital discharges. The Provider has a thorough, effective interview process and a team of well-developed, skilled staff to ensure that customers fully engage with the service without feeling pressured and with knowledge of their rights to refuse specific help or support. Service delivery is designed to be as flexible as possible to cater for the needs, wishes and comfort of each individual”.
- 5.2 The monitoring review confirmed that Who Cares (NE) continues to work with community partners and the private, voluntary and statutory sector providers to raise awareness of their services.
- 5.3 The monitoring review evidenced that Who Cares (NE) operates “an effective system of quality assurance based on the outcomes agreed with the customer. Through the efficient use of both the electronic database and

Red Amber Green (RAG) system, the provider is able to monitor the services and support provided to customers and the progress that is being made to meet individual outcomes”.

- 5.4 An annual contract review will be completed by the end of January 2013 based on the activity information that follows in section 6 and follow up of any outstanding actions identified following the six monthly contract review.

6. ACTIVITY INFORMATION: 1 NOVEMBER 2011 – 31 OCTOBER 2012

- 6.1 Who Cares (NE) received a total of 2,337 referrals between 1 November 2011 and 31 October 2012. The majority of referrals were made by customers but the data demonstrates a number of other agencies referring into the service including Housing Hartlepool, Cleveland Police, Fire Brigade, Homeless Team, GP and District Nurses, the Reablement Team and Drug and Alcohol Team.
- 6.2 During this period, 85 customers accessed the meals delivery service with a total of 6,000 meals being delivered. The South area provided the most meals with an average of 90 meals being provided to each person. The Central and North areas had an average of 52 meals provided to each person. Each two course meal was sold for £2 which would have generated an estimated annual income of £25k. Unfortunately this service had to be ceased in autumn 2012 due to a lack of volunteers. SAILS now signpost people to luncheon clubs and/or to frozen meals providers in the borough.
- 6.3 Six luncheon clubs are based in the South of the town. There are currently three clubs in place in the Central area and one club in the north at Hartfields. The luncheon clubs are based at Laurel Gardens, Manor Residents, Hartfields, The Schooner, Mill House, ORCEL, Belle Vue and the Salaam Centre. When Who Cares (NE) took over the Luncheon Clubs there was a total average attendance of 85 people. The current total average attendance has now risen to 141 people, representing a 65% increase. Work is ongoing with West View Advice & Resource Centre, Headland Futures and St. John Vianney Catholic Church to ascertain further demand in the North area of the town and work together to set up additional luncheon clubs where there is a demand for it. The new St John Vianney luncheon club opened in January 2013.
- 6.4 The majority of customers who accessed the Handyperson Service during this period were based in the North and South areas. The Central area was significantly lower:
- North: 357 customers and 483 jobs completed;
 - Central: 153 customers and 226 jobs completed;
 - South: 433 customers and 478 jobs completed.

The numbers in the Central area may reflect this area having the greatest number of private rented properties as certain jobs will not be carried out by the Handyperson Service if they fall within the responsibility of the landlord.

- 6.5 Navigator referrals during this period totaled 700 and came from a variety of sources including self-referral, HBC Duty Team, Housing Hartlepool, Reablement Team, Victim Support, Cleveland Police, Fire Brigade, GP, Rapid Response Nursing and Stoke Team. It should be noted that the low referral rate from GPs reflects their continued response of choice being to refer through the Duty Team. SAILS continue to promote the service through Practice Managers and the Life Channel.

The Navigator Service worked with 176 people in the North, 122 people in the Central area and 402 people in the South. This reflects the service being initially placed in the South area but demonstrates it is now being rolled out across the town. From 700 customers who accessed this service, a total number of 239 referrals were made on behalf of customers to other services/organisations, demonstrating effective partnership working with other agencies on behalf of customers. Navigators also made 321 initial home visits. It is noted that only 4% of the total numbers of referrals received into the Navigation Service were subsequently referred back into the HBC Duty Team. Of the 700 customers who accessed the Navigation Service within the 12 month period, they were supported to resolve 921 issues which entailed a total of 1,868 appointments. The issues dealt with included:

Issue	No. of People	No. of Appointments
Benefits	37	138
Housing	61	188
Intervention work	10	208
Isolation	21	46
Welfare issues	16	27
Homelessness	19	61
Health issues	31	70
Eviction	2	20
Family issues	10	29
Court / Advocacy	40	107
Bereavement	3	17
Anti-social behaviour	5	9
Alcohol issues	8	18
Debt	18	26
Independent living	66	87
Other	32	45

- 6.6 A total number of 694 customers accessed the Benefits and Welfare Advice Service during this 12 month period. This resulted in benefit claims being made on behalf of 202 customers with an overall total annual benefit increase of £392,399.28. The majority of customers receiving this service were based in the South area:

Area	No. of Customers	No. of Benefit Claims
North	122	45
Central	103	29
South	469	128

This again demonstrates the ongoing development of services across the town.

- 6.7 The majority of the 1,486 welfare notices received during this 12 month period were made by customers themselves (771) with the remainder coming from a good spread of other agencies across the town. The majority of referrals came from the North and South areas:

Area	No. of Customers	No. of Services Provided
North	320	778
Central	236	380
South	900	1628

Further work will be done to raise the profile of Who Cares (NE) in the Central area and encourage take up of its services. The 1,456 customers who referred into the service received at least one service. An overall total of 2,786 services were provided to the 1,456 customers which demonstrates the effectiveness of the Welfare Notice System as part of the early intervention / prevention pathway.

The average duration from receipt of a Welfare Notice to case closure is reported as an average of 31 days. This is deemed an efficient duration for service delivery.

- 6.8 A total of 2,461 cases were closed within the first 12 months of the contract. Of these, 2,140 cases had outcomes achieved by services and support provided by the Navigation and SAILS services:

- 2,140 cases closed with outcomes achieved (89.2% of referrals);
- 239 cases closed and signposted;
- 75 cases closed (no further action);
- 7 cases closed (deceased).

Of the 2,140 closed cases with outcomes achieved, the main goals for customers related to 'independent living' which equated to 51.3% of achieved outcomes. 'Financial matters' was the second largest issue and covered 30% of the closed cases.

There were no formal complaints received in respect of the services provided by Who Cares (NE). Operational issues have been resolved in a timely way by utilising monthly interface meetings between Who Cares (NE) and the Reablement Service and chaired by the Head of Service.

Who Cares (NE) have received 99 thank you cards from customers and they have recorded positive feedback from 216 customers during the 12 month period. Examples of the comments received are:

- *“There are people like me who can’t do without people and services like yours, keep up the good work and thank you from the bottom of my heart”;*
- *“My mother has asked me to contact you to express her thanks for the excellent service that she has received from your handyman service. I am her only child and live 270 miles away so it is reassuring that she can call on this type of help”;*
- *Just a few words to say thank you for all the things that you sorted out for me and my husband, it took a whole lot of pressure off both of us and was greatly appreciated, so once again thank you.”*

7. PARTNERSHIP WORKING

- 7.1 Who Cares (NE) commission West View Advice and Resource Centre to provide benefits and welfare advice on their behalf in the Central area.
- 7.2 Who Cares (NE) works with the Hartlepool Strengthening Families Project and has developed mutual referral procedures.
- 7.3 Who Cares (NE) has also built up effective links with Housing Hartlepool, West View Advice and Resource Centre, Wharton Trust, Credit Union, Headland Futures, Manor Residents Association, Accent Foundation, HBC Housing Options Team and the Drug and Alcohol Service.
- 7.4 Who Cares (NE) continues to develop services in partnership with other providers, volunteers and citizens across the borough. The Who Cares (NE) Board is currently involved in several bids for additional funding including the “Reaching Communities” lottery bid which is a joint bid submitted with several third sector partners and a consortium bid for “Coastal Communities” with Belle Vue leading the bid process.
- 7.5 £10k came into Who Cares (NE) from the PCT as additional “winter pressure monies” and £19k was received from Housing Hartlepool to fund a Housing Interventions Co-ordinator.
- 7.6 Work continues with the London School of Economics (LSE) to develop robust quantitative data that can evidence the value of low level / preventative services in keeping people living independently in their local communities and out of formal health and social care systems as long as possible. This work has taken considerably longer than anticipated due to the sickness of a key individual involved in the project.
- 7.7 Who Cares (NE) has continued to assist other organizations to prepare funding applications that focus on the delivery of community based services. These organizations have included West View Advice and Resource Centre, consortia including Housing Hartlepool, Manor Residents Association and the NYPD youth project.

8. BUDGET INFORMATION

- 8.1 The Navigator element of the contract is carrying an overspend and the SAILS element an under spend although the overall budget is on target and expected to balance at year end.
- 8.2 The Board will continue to work to identify additional sources of funding and opportunities to generate income in line with its aims as a Community Interest Company.
- 8.3 The welfare reforms to the benefits system are already impacting adversely on the health and wellbeing of a significant number of vulnerable people in Hartlepool. There is a rise in the numbers of people accessing low level services and the Voluntary and Community Sector (VCS) for advice, support and basic provision such as meals and food parcels. The numbers of people adversely affected by the welfare reforms are predicted to increase after April 2013 with the introduction of the Local Housing Allowance (“bedroom tax”). It is not unreasonable to expect a significant pressure on low level intervention services in the months and years ahead. At the same time it is becoming more difficult to recruit volunteers who are a resource on which the VCS depend for delivering services.

9. SUMMARY

- 9.1 The contract review and the information collected over the last 12 months indicate that Who Cares (NE) is delivering the outcomes as set out in the service specification of the contract. Work continues to further develop services in partnership with other providers, volunteers and citizens across the North and Central areas of the town.
- 9.2 It is clear from the data collected that there is a continuous trend in customers accessing services in greater quantities from the South area but this must be balanced against the fact that services were based in the South prior to the award of this contract. There is demonstrable evidence to show the levels of services across these areas should adjust and become more equitable over time.

10. RECOMMENDATION

- 10.1 It is recommended that Cabinet note progress in relation to services delivered by Who Cares (NE).

11. CONTACT OFFICER

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CABINET REPORT

4 February 2013



Report of: Scrutiny Co-ordinating Committee

Subject: HOLDING REPORT - FORMAL RESPONSE TO THE EXECUTIVE'S MEDIUM TERM FINANCIAL STRATEGY (MTFS) 2013/14 TO 2016/17 – BUDGET CONSULTATIONS

1. TYPE OF DECISION / APPLICABLE CATEGORY

1.1 This is a non-key decision.

2. PURPOSE OF REPORT

2.1 To inform Members that a report will be circulated in advance of, and for consideration during, this meeting detailing the Scrutiny Co-ordinating Committee's formal response to the Executive's Medium Term Financial Strategy (MTFS) 2013/2014 to 2016/2017 consultation proposals.

3. BACKGROUND INFORMATION

3.1 At a meeting of the Scrutiny Co-ordinating Committee held on 24 January 2013, consideration was given to the Executive's proposals for the Medium Term Financial Strategy (MTFS) 2013/2014 to 2016/2017.

3.2 At this meeting, a presentation was given providing an overview of the Council's financial position and details of key proposed changes and budget pressures for each department. Consideration of the information provided resulted in the formulation of a number of recommendations and comments for consideration by Cabinet on the 4 February 2013. The timescale between completion of Scrutiny consideration of the Executive's consultation proposals and the date of today's Cabinet meeting, however, meant that it was not possible to include the Scrutiny Co-ordinating Committee's report within the statutory requirements for the despatch of the agenda and papers for today's meeting. In light of this, and in order to progress the matter without delay, arrangements have been made for the Scrutiny Co-ordinating Committee's report to be circulated under separate cover in advance of this meeting.

4. PROPOSALS

- 4.1 No options submitted for consideration other than the recommendation(s).

5. IMPLICATIONS OF RECOMMENDATIONS

- 5.1 As detailed in report that will be circulated.

6. RECOMMENDATIONS

- 6.1 Cabinet is requested to consider the Scrutiny Co-ordinating Committee's formal response, as outlined in the report to be circulated in advance of this meeting.

7. REASONS FOR RECOMMENDATIONS

- 7.1 To provide the formal response of the Scrutiny Co-ordinating Committee in relation to the Executive's proposals for the Medium Term Financial Strategy (MTFS) 2013/2014 to 2016/2017.

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

- 8.1 No appendices are attached to this report

Contact:- Joan Stevens – Scrutiny Manager
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BACKGROUND PAPERS

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

- (i) Medium Term Financial Strategy (MTFS) 2013/2014 To 2016/2017 – Consultation Proposals presented to the Scrutiny Co-ordinating Committee held on 24 January 2013.

CABINET REPORT

4 February 2013



Report of: Scrutiny Co-ordinating Committee

Subject: FORMAL RESPONSE TO THE EXECUTIVE'S
MEDIUM TERM FINANCIAL STRATEGY (MTFS)
2013/14 TO 2016/17 – BUDGET CONSULTATIONS

1. TYPE OF DECISION / APPLICABLE CATEGORY

1.1 This is a non-key decision.

2. PURPOSE OF REPORT

2.1 To provide the formal response of the Scrutiny Co-ordinating Committee in relation to the Executive's proposals for the Medium Term Financial Strategy (MtfS) 2013/2014 to 2016/2017.

3. BACKGROUND INFORMATION

3.1 At a meeting of the Scrutiny Co-ordinating Committee held on 24 January 2013, to which all Scrutiny members were invited, consideration was given to the Executive's proposals for the Medium Term Financial Strategy (MTFS) 2013/2014 to 2016/2017.

3.2 At this meeting, a presentation was given providing an overview of the Council's financial position and details of key proposed changes and budget pressures for each department. Consideration of the information provided resulted in the formulation of a number of recommendations and comments for consideration by Cabinet on the 4 February 2013. These are outlined in Section 4 of this report.

3.3 During the consideration of the Executive's finalised Budget and Policy Framework Proposals for 2013/2014, views and comments were welcomed from Cabinet Members.

4. FORMAL RESPONSE OF SCRUTINY TO THE EXECUTIVE'S PROPOSALS FOR THE MEDIUM TERM FINANCIAL STRATEGY (MTFS) 2013/2014 to 2016/2017

- 4.1 Members of the Scrutiny Co-ordinating Committee received details of the Councils overall financial position and considered key changes, and budget reductions, proposed as part of the Executive's proposals for the Medium Term Financial Strategy (MtfS) 2013/2014 to 2016/2017.
- 4.2 During the determination of a formal response, Members acknowledged the unprecedented financial challenges facing the Council and the potential need, as a result of higher than forecast funding cuts, for a strategic, planned, multi-year approach to the management finances. In addition to this, a number of specific concerns/comments were made, as outlined below:-

Chief Executive's Department

4.3 Proposed Key Changes

- i) Procurement Savings - In relation to the £19,500 of procurement savings identified, Members queried the benefits of being involved with the North East Procurement Organisation. The Committee was advised that a complete review was being undertaken which it was hoped would result in a further savings during the course of 2013/14.

4.4 Budget Pressures (including corporate issues) - No recommendations or comments made.

4.5 Additional Comments / Suggestions

- i) Member Allowances Budget - Members noted that the actual government grant cut was 6.5%, which was higher than the 4.8% forecast. Members welcomed indications that Hartlepool's forecast had been far more accurate than in other areas. Whilst this had put Hartlepool in a much better position than other local authorities, the increased grant cut was going to increase the budget shortfall for 2013/14 to £6million.

Given the level of grant cut, Members were of the view that perhaps more than £100,000 could be saved from the Member Allowances budget.

Members recommended to Cabinet that at least £100,000 be taken from the Members Allowances budget.

- ii) Merger of the Registrars Service into the Contact Centre – The Chair drew attention to discussions at the Scrutiny Co-ordinating Committee meeting held on the 19 October 2012 and concerns expressed regarding the potential implications of transferring the Registrar's service to the Contact Centre. The Committee's view being that any proposed merger should not be put on hold and considered as part of the overall departmental restructures being undertaken by the new Chief Executive and Committee.

The Chair expressed concern that the Registrars / Contact Centre merger had been taken forward, with a £21,000 saving identified. This saving had not been included in the budget savings proposals for 2013/14 and **it was recommended that a report be brought back to the Scrutiny Co-ordinating Committee on the 8 March 2013 detailing:**

- **The process undertaken in taking forward the merger;**
- **The business case / issue considered; and**
- **How the merger / proposals fit in to the medium term financial strategy.**

Child and Adult Services Department

4.6 Proposed Key Changes

Adult Social Care:-

- i) Provider Services - Members were concerned that the reductions in Floating Support would have an impact on people with learning disabilities and mental health needs who access the services. It was recognised that the reductions would have an impact but reassurance was provided that the Council does have a statutory duty to meet assessed needs and no-one who met eligibility criteria and had an assessed need would be left without support (although this may be provided differently).

In relation to reablement services, Members did not want to see a reduction in the level of services provided, as had been the case in other Local Authorities. Members proposed the continuation of joint working with the Director of Public Health and the Clinical Commissioning Group (CCG) to make the best use of funding to maintain services. Members were advised that the CCG were committed to reablement and low level support services and that partnership working would continue.

In relation to the redundancies that were being made in Provider Services, Members questioned whether these redundancies would affect front line services. It was confirmed that the restructure would impact on some non statutory front line services and confirmed that social work teams supporting people with mental health needs and learning disabilities through provision of statutory front line services would not be reduced.

Members raised concerns around capacity, and whether the Direct Care and Support Service could manage the variation in demand that was created by people being discharged from hospital. Members questioned whether there was a rough guide for demand. The Assistant Director for Adult Social Care advised that only vacant resource and under spend was being removed from this service. Current levels of service provision will be maintained but there will be little or no contingency available to manage peaks in demand. In future year's capacity issues may be a cause for concern but this was unpredictable at this stage.

- ii) Commissioned Services - The Forum raised concerns in relation to work being undertaken with Creative Support and whether there would be additional services commissioned at additional cost. It was confirmed that no additional services would be commissioned but that there was potential for services to be developed which people could access using their personal budgets.

Community Services:-

- i) Maritime Festival - Members questioned whether other organisations had been approached about whether they would be interested in delivering the Maritime Festival. It was confirmed that a range of options had been explored but that it was not attractive to the private sector due to the size of the event and the investment required.
- ii) Sport and Recreation - Members requested usage figures for the Headland Sports Centre. The Assistant Director of Adult Social Care advised that figures were available and would be provided. It was also confirmed that demand would be monitored and if usage increased, the situation would be reviewed. The Centre will also be available for booked events during weekends.
- iii) Arts, Museums and Events - Members referred to the Olympic Torch Relay and thought that the event could have been better utilised to advertise and promote the attractions in Hartlepool. Members requested that this be looked at for all future events.

In relation to the market in the town centre car park, Members recommended that its location be reviewed as it was impacting on access to the One Life Centre.

Prevention, Safeguarding and Specialist Services:-

- i) Child and Adolescent Mental Health Services (CAMHS) - In relation to the CAMHS service, Members questioned whether the savings would affect access to the service, as it had not always been easy to access the services in the past and Members should be aware of this. It was clarified that the savings to be made are from the additional services that are provided specifically for looked after children over and above the services offered by the Primary Care Trust (PCT). The Children's Services Scrutiny Forum is exploring wider issues re CAMHS including access and will be making recommendations.
- ii) Early Intervention and Prevention Service - Members questioned the large saving proposed for the Early Intervention and Prevention Service. It was clarified that these savings had been identified through the consolidation of posts now fully funded by the Early Intervention Grant and creating savings in base budget. It was noted however these savings were proposed ahead of the announcement by Central Government and risks had been identified in the medium term financial strategy.

Performance and Achievement:-

- i) School Improvement Service - Members questioned whether there was more need in one Local Authority for this service and whether there was capacity to offer support to other Local Authorities or purchase support jointly, and whether this could be funded through the Dedicated Schools Budget. The Assistant Director of Prevention, Safeguarding and Specialist Services informed Members that work was ongoing with neighbouring authorities to identify collaborative ways of working and parallel to this, officers are looking at the model of service delivery appropriate for Hartlepool which may include income generation and provision of services for other local authorities.

4.7 Budget Pressures – No recommendations or comments made.

Regeneration and Neighbourhood Services Department

4.8 Budget Reductions

Resources - Members queried whether the reference to pregnancy and maternity in the Resources area Impact Assessment Form related to a reduction in hours or the deletion of a post. It was explained that this section was included in the form due to a person who was on maternity leave being included in the pool of potential people who may be at risk of redundancy.

Members were please to note that since the Impact Assessment Form had been completed, one member of staff had found alternative employment and the need for a compulsory redundancy no longer existed.

4.9 Proposed Key Changes

Regeneration and Planning Division:-

- i) Public Protection - In relation to income generation from new commercial contracts for pest control services related to mice, Members queried whether these contracts had already been secured or were targets. The Director of Regeneration and Neighbourhoods advised the Committee that some of the contracts had been secured and in the case of others, expressions of interest had been received.

Transportation and Engineering Division:-

- i) Integrated Transport Unit - Members were concerned that income generation opportunities surrounding Hospital transport should not be construed as the Council giving authority for the Foundation Trust to move services away from the University Hospital of Hartlepool. **Members felt strongly that this message should be made clear.**

4.10 Budget Pressures – No recommendations or comments made.

4.11 Additional Comments / Suggestions

- i) Ward Budgets – Members felt strongly that the ward budget given to each Member had been exceptionally beneficial and that provision should be made to ensure that each Member receives a similar allocation in 2013/14.

During the course of discussions, the **Committee recommended that:**

- **The allocation for each Member should be reduced to £5,000 and an overall Ward Budget of £165,000 provided;**
- **That Cabinet include an additional recommendation in the budget proposals to be referred to Council to provide a total Ward Member budget of £165,000 for 2013/14 (i.e. £5,000 per Member), to be funded from a combination of:-**
 - i) **A contribution of £60,000 from the elections budget which will not be needed in 2013/14 as there will not any elections. This will leave a contingency budget of £10,000 to cover any by-election(s);**
 - ii) **A contribution from the uncommitted 2012/13 Ward Member budget, value to be confirmed at the year end;**
 - iii) **A contribution of up to £105,000 from the uncommitted 2012/13 overall General Fund outturn detailed in the Medium Term Financial Strategy Report (paragraph 16.4) forecast to be between £0.381m and £1.161m;**
 - iv) **To note that any use under (iv) will be reinstated once full Council has consider the results of the Independent Remuneration Panel review of the Basic and Speciality Responsibility Allowances and approved a new scheme of allowances and the resulting level of saving;**
 - v) **To approve the proposal that 2013/14 Ward Members underspend can be carried forward by individual Members to 2014/15.**
- **Whilst the original ward budget scheme had been established on the basis that any unspent monies would not be ‘rolled over’, the Committee requested that the scheme be amended to enable unspent allocations to be ‘rolled over’ for use by Member in the following year(s).**

5. PROPOSALS

- 5.1 No options submitted for consideration other than the recommendation(s).

6. IMPLICATIONS OF RECOMMENDATIONS

- 6.1 As detailed in report.

7. RECOMMENDATIONS

- 7.1 It is recommended that the Cabinet receives the formal response of the Scrutiny Co-ordinating Committee, as outlined in Section 4 of this report; and considers the recommendations detailed in bold.

8. REASONS FOR RECOMMENDATIONS

- 8.1 To provide the formal response of the Scrutiny Co-ordinating Committee in relation to the Executive's proposals for the Medium Term Financial Strategy (MtfS) 2013/2014 to 2016/2017.

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

- 9.1 No appendices are attached to this report

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BACKGROUND PAPERS

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

- (i) Medium Term Financial Strategy (MTFS) 2013/2014 To 2016/2017 – Consultation Proposals presented to the Scrutiny Co-ordinating Committee held on 24 January 2013.