

FINANCE AND POLICY COMMITTEE AGENDA



Monday 18 August 2014

at 9.30 am

in the Council Chamber, Civic Centre, Hartlepool

MEMBERS: FINANCE AND POLICY COMMITTEE

Councillors C Akers-Belcher, Dawkins, Hind, Jackson, James, Loynes, Payne, Richardson, Riddle, Simmons plus one vacancy

1. APOLOGIES FOR ABSENCE

2. TO RECEIVE ANY DECLARATIONS OF INTEREST BY MEMBERS

3. MINUTES

- 3.1 To receive the minutes of the meeting of the Finance and Policy Committee held on 21 July 2014.
- 3.2 To receive the minutes of the meeting of the Safer Hartlepool Partnership held on 9 May 2014.

4. BUDGET AND POLICY FRAMEWORK ITEMS

No items.

5. KEY DECISIONS

- 5.1 Review of Polling Districts, Polling Places and Polling Stations – *Chief Solicitor*
- 5.2 Drug and Alcohol Recovery Support Services – *Director of Public Health*
- 5.3 Stop Smoking Service – *Director of Public Health*



- 5.4 Disposal of Surplus Assets – Seaton Lane Sites – *Director of Regeneration and Neighbourhoods*

6. OTHER ITEMS REQUIRING DECISION

- 6.1 Potential Merger of the Teesside and Hartlepool Coroner Areas – *Chief Executive and Chief Solicitor*
- 6.2 Driving at Work Policy and Driver Handbook and Cycle Policy – *Assistant Chief Executive/Assistant Director, Neighbourhoods*
- 6.3 Strategic Financial Management Report – as at 30 June 2014 – *Corporate Management Team*

7. ITEMS FOR INFORMATION

- 7.1 Update on the Modernisation of the EU Procurement Rules – *Director of Regeneration and Neighbourhoods*
- 7.2 Delegated Powers Property Transactions – Quarterly Report – 2014 (Q1) – *Director of Regeneration and Neighbourhoods*
- 7.3 Corporate Procurement Quarterly Report on Contracts – *Director of Regeneration and Neighbourhoods*
- 7.4 Health and Safety Annual Report – *Assistant Chief Executive*

8. ANY OTHER BUSINESS WHICH THE CHAIR CONSIDERS URGENT

ITEMS FOR INFORMATION

Date of next meeting – Monday 15 September 2014 at 9.30am in the Civic Centre, Hartlepool



FINANCE AND POLICY COMMITTEE MINUTES AND DECISION RECORD

21 July 2014

The meeting commenced at 9.30am in the Civic Centre, Hartlepool

Present:

Councillor: Christopher Akers-Belcher (In the Chair)

Councillors: Keith Dawkins, Tom Hind, Marjorie James, Brenda Loynes, and
Chris Simmons

In accordance with Council Procedure Rule 5.2 (ii), Councillor Kevin Cranney
was in attendance as substitute for Councillor Robbie Payne

Officers: Dave Stubs, Chief Executive
Andrew Atkin, Assistant Chief Executive
Peter Devlin, Chief Solicitor
Chris Little, Chief Finance Officer
Denise Ogden, Director of Regeneration and Neighbourhoods
Louise Wallace, Director of Public Health
Damien Wilson, Assistant Director, Regeneration
Alastair Rae, Public Relations Manager
Joan Stevens, Scrutiny Manager
Kieran Bostock, Senior Engineer
Angela Armstrong, Principal Democratic Services Officer

17. Apologies for Absence

Apologies for absence were received from Councillors Peter Jackson,
Robbie Payne, Carl Richardson and David Riddle.

18. Declarations of Interest

Councillors Kevin Cranney declared a personal interest in minute 23,
Councillor Marjorie James declared a personal interest in minute 24 and
Councillor Chris Simmons declared a personal interest in minutes 21 and
23.

19. Minutes of the meeting held on 30 June 2014

Received.

20. Disposal of Surplus Assets – Throston Grange Community Centre *(Director of Regeneration and Neighbourhoods)*

Type of decision

Non key.

Purpose of report

To consider the future of Throston Grange Community Centre and the proposal by the current occupiers (Hartlepool Stage Society) to acquire the Council's freehold interest in the building.

Issue(s) for consideration

The report provided the background to the current rental arrangements for Throston Grange Community Centre to the Hartlepool Stage Society (HSS) which included an 'option to purchase' clause. Members were informed that a proposal had been received from HSS to acquire the freehold at a reduced value in exchange for allowing community groups to use the building during the day at nil cost for a period of 5 years. A purchase proposal together with supporting Business Plan were attached at confidential **Appendix D. (This item contained exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006 namely information relating to the financial or business affairs of any particular person (including the authority holding that information) para 3.** The report highlighted that demand existed for community access to provide health and employment training and advice during the day.

A Member sought clarification on what free day time use would actually mean. There were two representatives from HSS in attendance and the Chair asked them to provide the clarification. One of the representatives confirmed that use of the facility to community groups would be available until 6.00pm with no financial contribution required. A Member suggested that any of the income received from the proposal should be utilised to secure community spaces in other areas of the town.

Members were supportive of option four along with further consideration to be given to utilise any income received as a result of the proposals, to secure and support other community spaces within the town. The Chair suggested that as the Regeneration Services Committee would be considering the Regeneration and Neighbourhoods Savings Programme 2015/16 on 24 July 2014, this issue should be considered as part of those discussions.

Decision

- (i) The disposal of the subject property to the HSS in accordance with the terms/value set out in confidential Appendix D as noted above were approved.
- (ii) That the future use of any income generated from the above proposal be referred to the Regeneration Services Committee on 24 July 2014 for consideration as part of the Regeneration and Neighbourhoods Department Savings Programme for 2015/16.

21. Local Council Tax Support 2015/16 (*Chief Finance Officer*)**Type of decision**

Budget and Policy Framework.

Purpose of report

- (i) Provide information on the operation of the current 2014/15 Local Council Tax Support (LCTS) scheme;
- (ii) Set out potential options for the Council's 2015/16 scheme and later financial years;
- (iii) Enable Members to determine consultation arrangements for the 2015/16 scheme.

Issue(s) for consideration

The report provided the background on the introduction of Local Council Tax Support Schemes (LCTS) and how these schemes operated. The Chief Finance Officer presented a detailed and comprehensive report which provided an update on the 2014/15 LCTS Scheme as well as the financial modelling for the proposed LCTS scheme for 2015/16. The report highlighted the support the Council had provided to low income households affected by this change in 2013/14 and 2014/15, compared to the impact of implementing 20% cuts in these years. For 2015/16 the following three options were provided for Members' consideration:

- Option 1 – Increase LCTS cut to 16% in 2015/16;
- Option 2 – Implement a LCTS cut at 20% in 2015/16;
- Option 3 – Implement a LCTS cut at 12% in 2015/16 (ie the same level as 2014/15).

The report summarised the financial forecasts of the three options for the period 2014/15 to 2018/19 and a number of key issues were highlighted. The LCTS was centred on a number of core principles in common with many other Councils and these were outlined in the report. Members were

informed that the Corporate Management Team recommended that the 16% option be implemented as it provided a balance between phasing reductions in LCTS support and reduced the risk of non collection of Council Tax in 2015/16. The Chief Finance Officer however indicated that all options identified were financially viable for 2015/16. It was also highlighted that a 20% reduction was anticipated to be required for 2016/17 with further significant reduction in support in future years.

The Chair questioned what the impact would be on households on extending the 12% level of LCTS support. The Chief Finance Officer confirmed that this option would provide additional support to low income households of up to £90 for Band A properties and £105 for Band B in 2015/16. A Member suggested that it would useful if future reports included the differentiation in numbers between working households in receipt of benefit as opposed to unemployed households in receipt of benefit. The Chief Finance Officer confirmed that the inclusion of this additional information would be explored further.

Councillor Tom Hind joined the meeting at this point.

A Member sought clarification on the number of instances where outstanding council tax was deducted from welfare benefits. The Chief Finance Officer confirmed that around 70% of all council tax received was through a court liability order and deducted from welfare benefits. Members had significant concerns about people being driven into debt and the level of support available to assist people to manage budgets was questioned. The Chief Finance Officer confirmed that there were a number of other agencies, including voluntary groups who provided financial advice and support across the Town. It was highlighted that other agencies/utilities were also applying for deductions from welfare benefits to contribute to unpaid debts and it was suggested that further assistance and guidance should be available to people in this situation as non payment of council tax may result in a prison sentence. The importance of guidance and education on managing budgets was reiterated and the provision of this service would be considered as part of future budget considerations.

The Chair commented that limiting the LCTS support to 12% for a further year will provide more money for local communities and will be funded from the underspend on local welfare support from last year. In addition, this option does not necessitate consultation and would therefore save the Council the cost of this.

Members were supportive of maintaining a 12% LCTS support but were concerned it would build up debt for future years. However, the need for further education and support to enable people to manage their budgets more effectively was reiterated. It was suggested that a raising awareness campaign could be undertaken through the Community and Engagement Strategy. The Public Relations Manager confirmed that all publicity around the LCTS Support Scheme included information on the provision of money advice and guidance with people being directed to the West View Advice

and Resource Centre.

Decision

- (i) Option 3 – a 12% LCTS cut (ie no change from the 2014/15 LCTS Scheme was approved and adopted.
- (ii) As a result of recommendation (i), no consultation was required to be undertaken at this time.
- (iii) The application of LCTS Reserves as detailed in Section 5.8 to support the LCTS scheme, including the use of the Family Poverty Reserve of £0.226m (created from the 2013/14 final Local Welfare Support outturn) was approved.
- (iv) The continuation in 2015/16 of the principles A to E as set out in the report was approved.
- (v) It was noted that in accordance with national regulations, approximately £5,000 of the 2015/16 grant settlement would be passported to Parish Councils.
- (vi) It was noted that it was currently anticipated that a LCTS cut for 2016/17 of 20% would be required with further significant increases forecast for 2017/18 and 2018/19.

22. Savings Programme 2015/16 – Chief Executive's Department (*Chief Executive*)

Type of decision

Budget and Policy Framework.

Purpose of report

To enable Members to consider the initial 2015/16 savings proposals relating to the Committee remit. Comments made would be incorporated with those received from each of the Policy Committees in relation to their remits.

Issue(s) for consideration

The report provided the background to the budget process agreed for 2015/16. The savings target for the Chief Executive's Savings Programme for 2015/16 was originally established at £395k. However, the savings programme proposed totalled £515k which exceeded the initial target and reflected the overall approach adopted by the Corporate Management Team to protect front line services.

Further detail on the Divisional proposals within the Chief Executive's Department were included in the report and included the removal of vacant

posts, changes to operations and management arrangements, increasing income and staffing savings. There were a number of risks and financial considerations as a result of the proposals and these were outlined in the report.

A Member referred to an earlier request to include more detail on which posts were likely to be affected through by the proposed savings programme. It was noted that a functional 'family-tree' of each Division will be provided when the final proposals were submitted to Committee for consideration in October 2014.

Concerns were expressed by a Member on the additional stress and pressure the proposed savings would place on the remaining employees of the Council. The Assistant Chief Executive acknowledged that supporting employees in relation to their overall wellbeing was an important consideration of any savings proposals. However, it was recognised that there was an increasing shift from reorganising how work was undertaken to making difficult decisions on combining or scaling back functions and in potentially ceasing to undertake some functions.

Decision

- (i) The report was noted.
- (ii) Members comments noted above to be used to formulate a response to be presented to the Finance and Policy Committee on 13 October 2014.

23. Savings Programme 2015/16 – Regeneration and Neighbourhoods Department *(Director of Regeneration and Neighbourhoods)*

Type of decision

Budget and Policy Framework

Purpose of report

To identify proposals for the delivery of savings in respect of the Department for Regeneration and Neighbourhoods relevant to this Committee for consideration as part of the 2015/16 budget process.

Issue(s) for consideration

The report provided the background to the budget process agreed for 2015/16. The savings target for the Regeneration and Neighbourhoods Department Savings Programme for 2015/16 was originally established at

£2.250m. However, the savings programme proposed totalled £2.420m which exceeded the initial target and reflected the overall approach adopted by the Corporate Management Team to protect front line services.

Further detail on the savings proposals within the Regeneration and Neighbourhoods Department were included in the report. An options analysis had been undertaken and there were a number of risks and financial considerations to be taken into account as part of the proposals and these were outlined in the report.

The Chair suggested that in view of Members' comments regarding the cut in LCTS support earlier on the agenda, options be explored to maintain the provision of universal welfare benefits advice through Category 1 of the Community Pool. The Director of Regeneration and Neighbourhoods indicated that further information on this would be included in the report to be submitted for consideration in October 2014. A Member expressed concerns at the reduction in the Community Pool funding and requested further information on the level of support provided to community groups and organisations during the previous year. The Director of Regeneration and Neighbourhoods informed Members that further consideration of the reconfiguration of services within the Department will be considered at the Neighbourhood Services Committee on 19 August 2014 and Members' comments will be fed into that meeting.

Decision

- (i) The report was noted.
- (ii) Members' comments noted above to be used to formulate a response to be presented to the Finance and Policy Committee on 13 October 2014.

24. Headland Walls and Block Sands Coastal Protection Works *(Director of Regeneration and Neighbourhoods and Chief Finance Officer)*

Type of decision

Key Decision – Test

Purpose of report

To seek approval for a financial contribution towards the scheme to upgrade key coastal structures on the Headland Walls and Block Sands. The report set out the financial considerations relating to the scheme, however, a more detailed report was presented to the Neighbourhood Services Committee on 12 May 2014 and a copy of this report was attached at Appendix 1.

Issue(s) for consideration

The report provided a detailed background on the current condition of the Headland Walls and Block Sands frontages. In October 2013, the Council commenced the production of a Project Appraisal Report (PAR) which produced a business case to be submitted to the Environment Agency to apply for grant funding to upgrade key coastal structures around the Heugh Gun Battery and Block Sands. The total cost of the preferred scheme was estimated to be £9.645m and will be partly funded through the Environment Agency in a grant of £7.120m which is currently being secured. As part of the 'Partnership Funding' regime in place, the Council, PD Ports and Northumbrian Water had been identified as potential contributors to the scheme.

To date the total funding required for the project had been secured. However, Northumbrian Water was yet to confirm its contribution. Any funding received from NWL would reduce the amount required as match funding from the Council. The funding required from the Council would be funded through prudential borrowing and would incur an annual borrowing cost of a maximum £62,000 with the cost of the loan being funded from the Coastal Protection annual maintenance budget on the basis that future maintenance should substantially reduce once the scheme was complete.

In response to a question from a Member, the Senior Engineer confirmed that PD Ports owned the Heugh Breakwater and were responsible for maintaining the structure. The Director of Regeneration and Neighbourhoods confirmed that the maintenance of the main coastal structures was a shared responsibility in places however the Heugh Breakwater was 100% PD Ports.

A Member commented on the use of the Local Levy which was contributed to by 12 north east local authorities and the need to maintain Hartlepool's contribution to this Levy in the future.

Members were supportive of the proposals and the Chair highlighted the need to ensure that the Council's maximum contribution would be £1,800,000 with this amount being reduced by the contribution received from NWL.

Decision

- (i) The funding proposals for the scheme as outlined in the report were noted.
- (ii) A contribution of £1,800,000 was approved to the scheme, with £500,000 of this funding already approved and held in reserve. However, this contribution to be reduced in line with the contribution received from Northumbria Water.

- (iii) The proposal to prudentially borrow £1,300,000 was approved which represents the maximum amount of match funding still required from the Council and the annual loan repayment cost of £62,000 to be funded from the annual Coastal Protection Maintenance budget.
- (iv) The financial risks associated with the project as outlined in the report were noted.

25. Empty Property Purchasing Homes Scheme Phase 2 (Director of Regeneration and Neighbourhoods)

Type of decision

Key Decision – Test

Purpose of report

To seek approval to the proposed Empty Property Purchasing Scheme Phase 2 and to propose changes to the capital programme and Prudential Borrowing Limits for approval by Council.

Issue(s) for consideration

The report provided the background to the development of the Empty Property Purchasing Scheme Phase 1 which involved the acquisition and refurbishment of long term empty private sector properties by agreement. An overview of Phase 1 and the business case and risk considerations for Phase 2 were included in the report. It was highlighted that a funding bid had been submitted to the Homes and Communities Agency (HCA) for £688,000 to deliver phase 2 of the scheme and the outcome of that bid would be announced in July 2014.

The business case consisted of the following two elements:

- a) Locally funded scheme – to prudentially borrow £2,846,000 supported from the rental income from properties acquired in Phase 1 which will fund 44 properties.
- b) Additional properties – depending on the receipt of £688,000 funding as noted above to be used as match funding to support a further borrowing of £826,000 resulting in 23 additional properties.

A financial overview and the risk assessment undertaken were included in the report.

In response to a request for clarification from a Member, the Chief Finance Officer confirmed that the annual £80k New Homes Bonus over six years referred to in the report related to the new scheme.

Decision

- (i) The business case for the Phase 2 expansion of the Empty Property Purchasing Scheme was approved.
- (ii) Council approval be sought for prudential borrowing of £2,846,000 supported by rent income for a Locally Funded Scheme of 44 properties, supported by rental income.
- (iii) Council approval be sought to fund an additional 23 properties, dependent on a successful HCA funding bid, consisting of HCA funding of £688,000 and additional prudential borrowing of £826,000 supported from rental income.

26. Disposal of Surplus Assets – Land at Eskdale Road*(Director of Regeneration and Neighbourhoods)***Type of decision**

Key Decision – Test

Purpose of report

To consider proposals for the sale of land at Eskdale Road at less than best consideration.

Issue(s) for consideration

The report provided the background to an approach made by North Star Housing Group and Gus Robinson Developments Ltd with a view to purchasing land at Eskdale Road for the construction of 16 affordable bungalows (including two wheelchair adapted) together with parking spaces. The terms of the proposal were set out in confidential appendix 2. **This item contained exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely information relating to the financial or business affairs of any particular person (including the authority holding that information).**

In response to a question from a Member, the Director of Regeneration and Neighbourhoods confirmed that the HCA funding would not be announced before Parliament commenced its summer recess.

A Member acknowledged that this development was subject to planning permission as well as HCA funding and would not influence any decision to be taken at a future Planning Committee.

Members were supportive of the proposals in view of the major need for bungalows across the town. A Member requested that any income generated from the proposals, including the New Homes Bonus, be ring-fenced for use within the Ward. The Chief Finance Officer highlighted the impact of ring-fencing New Homes Bonus to a particular ward on the overall budget position, however this issue could be explored further and reported back to Members at a later date.

Decision

- (i) The sale of land at Eskdale Road as set out in the terms within confidential Appendix 2 as noted above was approved.
- (ii) That the potential to utilise the income generated from the sale of the land as well as the New Homes Bonus received as a result of the development, within the Ward in which it is located, be explored further.

27. Potential Merger of the Teesside and Hartlepool Coroner Areas *(Chief Executive and Chief Solicitor)*

Type of decision

Non key.

Purpose of report

To outline the proposed merger of the Teesside and Hartlepool Coroner areas following the retirement of the Senior Coroner for Teesside and the requirement to consider the merger of Coroner areas under the Lord Chancellor's powers through the Coroners and Justice Act 2009. Further, to have regard to the Chief Coroner's Guidance Note number 14 'Merger of Coroner Areas'.

Issue(s) for consideration

The report provided the background to the present Teesside and Hartlepool Coroner arrangements. The Chief Solicitor presented a detailed report on the current position which had resulted in Middlesbrough Borough Council as the 'relevant authority' for the Teesside Coroner area, nominating one of the Assistant Coroners, Ms Clare Bailey to the role of Acting Senior Coroner for Teesside. In addition to this, it was proposed that Mr Malcolm Donnelly, Senior Coroner for Hartlepool, would undertake the Assistant Coroner role whilst retaining his position in Hartlepool. The report outlined the decision making process which involved consultation with a number of key partners. However the final decision would be taken by the Lord Chancellor, who would in turn consult with the Chief Coroner for England.

The Chief Executive informed Members that this proposed merger was a good news story for Hartlepool as it would ensure that a Coroner service continued to be provided in Hartlepool by the current Senior Coroner.

Decision

- (i) That the merger of the Hartlepool and Teesside coroner areas be approved 'in principle'.
- (ii) That a final business case be submitted to the next meeting of the Committee for approval and subject to that final approval, be submitted to the Ministry of Justice.

28. Director of Public Health Annual Report (*Director of Public Health*)

Type of decision

For information.

Purpose of report

To present the Director of Public Health Annual Report for 2013/14. This report will be presented to full Council in August 2014.

Issue(s) for consideration

The report provided the background to the requirement for the Director of Public Health to submit an Annual Report to Council. The 2013/14 Annual Report focussed on the risk factors for developing diseases including the three key priority areas of smoking, alcohol and obesity. The three priority areas provided an opportunity to improve health as they were amenable to change. However, it was highlighted that change would not be achieved solely by individual behaviour change but through education, accessible services and local and national policy changes.

The Chair suggested that more detailed reference to the work undertaken by the Health and Wellbeing Board should be included at the front of the Annual Report.

Decision

The Director of Public Health Annual Report for 2013/14 was noted with the inclusion of a more detailed reference to the work undertaken by the Health and Wellbeing Board to be included at the front of the Report.

30. Any Other Items which the Chairman Considers are Urgent

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

31. Any Other Business – Catcote School Open Day

The Chair informed Members that along with The Mayor and the Chair of the Children's Services Committee, he had attended an open day at Catcote School. The visit was very beneficial as it highlighted how the school had been reconfigured with the movement of some children to Catcote Futures. It was noted that there was a café within the school that was provided with the assistance of the children within the school and an offer had made for them to take over the running of the café within Christ Church as a training and development opportunity for the children from Catcote School. It was requested that Officers enter into negotiations with the School to explore the options that may be available to take this opportunity forward.

Decision

That Officers enter into negotiations with Catcote School and explore the opportunities available to enable them to take over the operation of the café in Christ Church.

The meeting concluded at 11.18 am

P J DEVLIN

CHIEF SOLICITOR

PUBLICATION DATE: 28th July 2014

SAFER HARTLEPOOL PARTNERSHIP MINUTES AND DECISION RECORD

9 May 2014

The meeting commenced at 2.00 pm in the Civic Centre, Hartlepool

Present:

Councillor: Christopher Akers-Belcher (In the Chair)
Denise Ogden, Director of Regeneration and Neighbourhoods
Louise Wallace, Director of Public Health
Clare Clark, Head of Community Safety and Engagement
Chief Inspector Lynn Beeston, Chair of Youth Offending Board
Councillor Carl Richardson, Cleveland Fire and Rescue
Authority Nominated Member
Andy Powell, Housing Hartlepool
John Bentley, Safe in Tees Valley
Karen Hawkins, Hartlepool and Stockton on Tees Clinical
Commissioning Group

In accordance with Council procedure rule 5.2 (ii) Julie Keay
was in attendance as a substitute for Luicia Saiger-Burns

Officers: Mark Smith, Head of Youth Support Services
Denise Wimpenny, Principal Democratic Services Officer

83. Apologies for Absence

Apologies for absence were submitted on behalf of Dave Stubbs, Chief Executive, Chief Superintendent Gordon Lang, Cleveland Police, Barry Coppinger, Office of Police and Crime Commissioner for Cleveland, Luicia Saiger-Burns, Durham Tees Valley Probation Trust.

84. Declarations of Interest

None.

85. Minutes of the meeting held on 21 March 2014

Confirmed.

86. Hartlepool Youth Justice Plan 2014-15 *(Director of Child and Adult Services)*

Type of decision

Budget and Policy Framework

Purpose of report

To present the final draft of the Youth Justice Strategic Plan for 2014-15 (Appendix 1) to the Safer Hartlepool Partnership prior to the Plan being considered by Council in June 2014.

Issue(s) for consideration

The Partnership was referred to consideration of the Strategic Needs Assessment at the last meeting which had informed the development of the Youth Justice Strategic Plan, attached at Appendix 1. Approval of the Plan was sought prior to submission to Council for endorsement.

Based upon the findings of the Strategic Assessment it was proposed that the Youth Offending Service and broader Youth Justice Partnership focussed on a number of key strategic objectives during 2014/15 which included Re-offending, Early Intervention and Prevention, Remand and Custody, Restorative Justice, Risk and Vulnerability, Think Family, Maintain Standards and Effective Governance, details of which were set out in the report.

With regard to Page 25 of the Plan in relation to contributions from statutory partners, the Director of Public Health highlighted that £58,736 allocated against Hartlepool CCG was incorrect and was in relation to ring fenced public health funding and formed part of the local authority budget. It was agreed that the plan be amended to reflect this inaccuracy.

Decision

That the final draft of the Youth Justice Strategic Plan be approved subject to an amendment to Page 25 to reflect the ring fenced public health funding, as detailed above, prior to submission to Council for endorsement.

87. Substance Misuse Strategy Group – Draft Substance Misuse Treatment Plan 2014/15 *(Director of Public Health)*

Purpose of report

To inform and update the Safer Hartlepool Partnership on the progress and process taken to produce a Substance Misuse Plan 2014/15.

Issue(s) for consideration

The Director of Public Health reported on the background to the requirement to produce an Annual Substance Misuse Plan. The current Plan would come to an end in March 2014 and it had been decided that a complete refresh was the way forward and would produce a framework to include the governance structure, substance misuse data, key objectives and actions for the coming year. The draft Plan, attached as an appendix to the report, was being developed with a number of partners and was being consulted upon. The results of the consultation on the first draft would be considered and used to inform the production of the second draft which would be presented to the Partnership in late summer 2014.

In response to a query regarding progress against objectives over the last 12 months, the Director of Public Health agreed to provide a copy of 2012-13 Substance Misuse Treatment Plan under separate cover following the meeting.

Decision

- (i) That the process taken to refresh the Substance Misuse Treatment Plan, following formal consultation, be noted.
- (ii) That a copy of the 12-13 Substance Misuse Treatment Plan be provided to all Members of the Partnership under separate cover following the meeting.

88. Anti-Social Behaviour Crime and Policing Act *(Director of Regeneration and Neighbourhoods)*

Purpose of report

To provide a progress update to the Safer Hartlepool Partnership on the forthcoming legislative changes to the way anti-social behaviour is dealt with in neighbourhoods and, as part of those changes, to propose a process and threshold in relation to the new Community Trigger.

Issue(s) for consideration

The report informed Members of the background to legislative changes on the way in which anti-social behaviour was dealt with in neighbourhoods together with an overview of what had been done to date to prepare for the implementation of the new tools and powers.

Details of the proposed local threshold was outlined together with the process in relation to the new Community Trigger which embodied a new right to request a review of the way a case about anti-social behaviour had been dealt with by local agencies.

The Head of Community Safety and Engagement went on to provide a detailed presentation in support of the report which focussed on the purpose of the Act, new tools and powers, tackling problem individuals and environmental anti-social behaviour, police powers to disperse, empowering communities, Community Trigger, relevant authorities and the Community Trigger review procedure, proposed Hartlepool Community Trigger threshold as well as the next steps.

The Head of Community Safety and Engagement responded to issues raised by the Partnership in relation to the criteria threshold and potential outcomes of anti-social behaviour complaints. The Director of Public Health added that the Public Health Team was keen to explore awareness issues and the links to anti-social behaviour from a public health drug and alcohol perspective. The importance of raising public awareness and communicating the new powers to the public to ensure there was no confusion particularly in relation to enforcement issues was emphasised.

Decision

- (i) That progress in relation to preparing for the introduction of the Anti-Social Behaviour and Policing Act be noted.
- (ii) That the Community Trigger Threshold and process, as outlined in Section 6 of the report, be agreed subject to consultation being carried out with the PCC, together with the development of a local communication strategy in relation to the Community Trigger with the SHP Anti-Social Behaviour Task Group being asked to take this forward.
- (iii) That the Community Trigger Process be managed by the Community Safety Team who would provide a single point of contact for Community Trigger applications.
- (iv) That any request for a review of the way a Community Trigger application had been dealt with be the responsibility of the Safer Hartlepool Partnership.

- (v) That an update report be presented to a future meeting of the Finance and Policy Committee in relation to progress in preparing for the introduction of the Anti-Social Behaviour and Policing Act .

89. HM Inspectorate of Constabulary Report – Cleveland Police’s Approach to Tackling Domestic Abuse *(Chief Inspector Beeston)*

Purpose of report

To inform the Partnership of the recently published HM Inspectorate of Constabulary (HMIC) report examining Cleveland Police’s approach to tackling domestic abuse and its key recommendations.

Issue(s) for consideration

The Chief Inspector, Cleveland Police, reported on the background to the HM Inspectorate of Constabulary’s report into how police forces were responding to domestic violence and Cleveland Police’s approach to tackling domestic abuse.

The Inspectorate found much effective work being done across the force to tackle domestic violence and abuse including the force’s prioritisation of the problem and strong leadership and management of services. In particular, the report highlighted the effectiveness of the Multi-agency Risk Assessment Conference’s (MARAC) Independent Domestic Violence Advisor’s (IDVA) and commended the repeat visits initiative that operated in Hartlepool.

The HMIC report, attached at Appendix 1 contained a detailed analysis of Cleveland Police’s response to domestic violence and abuse and provided eleven recommendations in terms of service improvement, details of which were provided. In summary, the Chief Inspector advised that overall the Cleveland force had received a positive result despite the perception nationally that performance in relation to tackling domestic abuse was poor across all forces.

In the discussion that followed some concern was expressed regarding the low level of people consulted given the extent of the review. A view was expressed that the report would have been more meaningful if it had focussed specifically on localities as opposed to such a wide area. It was highlighted that the figures should not be considered in isolation and needed to be considered in the wider context in terms of the level of alcohol consumption and substance misuse in the town.

In response to a request for clarification as to how the actions arising from the inspection would be taken forward, the Chief Inspector advised that the Head of Crime would produce an action plan which would feed into the

Partnership. Whilst Members noted there was a role for the Domestic Violence Strategic Group in terms of taking the actions forward, the importance of partners working together to avoid any duplication was emphasised.

The Partnership discussed the extent and nature of domestic abuse and the people who may experience such abuse.

Decision

That the comments of the Partnership and recommendations, as detailed in Appendix 1, be noted.

90. Any Other Items which the Chairman Considers are Urgent

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

91. Any Other Business – Domestic Homicide

The Director of Regeneration and Neighbourhoods advised the Partnership of a recent domestic homicide in Hartlepool. An urgent meeting with the relevant partner agencies had taken place that day and a domestic homicide review would need to be undertaken which would involve the appointment of an Independent Chair. There would be costs incurred by the Council and a report would be submitted to the Partnership in due course for consideration in closed session.

Decision

That the information given be noted.

92. Future Meetings

The Chair advised that once the Council's diary of future meetings for the next municipal year had been agreed, dates of future Partnership meetings would be provided as well as confirmation of Chair. It was envisaged that future meetings would be held at 1.00 pm on a Friday. In view of the low level of attendance during the six week school holidays, the Chair had requested that no meetings be scheduled during this period.

Decision

That the information given be noted.

The meeting concluded at 3.10 pm

CHAIR

FINANCE AND POLICY COMMITTEE

18 August 2014



Report of: Chief Solicitor

Subject: REVIEW OF POLLING DISTRICTS, POLLING PLACES AND POLLING STATIONS

1. TYPE OF DECISION/APPLICABLE CATEGORY

Key Decision Test (ii) Forward Plan Reference No. CE65/14.

2. PURPOSE OF REPORT

- 2.1 To consider and review proposals for alternative polling districts, polling places and polling stations to be used at future elections.

3. BACKGROUND

- 3.1 The Electoral Registration and Administration Act 2013 introduced a change in timing of compulsory reviews of UK Parliamentary polling districts and polling places. A compulsory review must take place within a period of 'sixteen months beginning with 1 October, 2013 and the same period, beginning with 1 October of every fifth year after that'. This does not prohibit the Council, from carrying out a review 'of some or all' of the polling districts or places at other times.
- 3.2 Previous compulsory reviews have been undertaken in 2007 and 2011, with the next full review planned for after the 2014 combined European Parliamentary & Local Government elections to meet with the legislative requirement date for the completion of a compulsory review by 31 January 2015.
- 3.3 Interim reviews have taken place in 2009, 2010, 2012 and 2013.
- 3.4 The aim of the review is to ensure that all electors have such reasonable facilities for voting as are practicable.

4. AIMS OF THE REVIEW

- 4.1 Local authorities are required to divide their area into polling districts for the purpose of parliamentary elections and to designate polling places for these polling districts and polling stations, and to keep these under review.
- 4.2 By conducting this statutory review of polling places, local authorities must demonstrate that they have, as far as is practicable, met the criteria set out in legislation.
- 4.3 The authority must:
- (a) seek to ensure that all the electors in the constituency have such reasonable facilities for voting as are practicable in the circumstances;
 - (b) seek to ensure that so far as is reasonable and practicable, the polling places they are responsible for are accessible to all electors, including those who are disabled.
- 4.4 The key points to bear in mind when conducting the review is that all decisions made must be consulted upon, measured, and practical. The whole process should be as transparent and open as possible to avoid possible conflict.

5. PRELIMINARY STAGE

- 5.1 The first stage of the review process involves giving notice of the review. It is recommended that public notice be given at the Council office and on the Council website. The contents of the notice should state:
- that the local authority is conducting a review of polling districts and polling places;
 - that the Acting Returning Officer will make comment on proposed polling stations, and an indication of when and where the Acting Returning Officer's recommendations will be made available;
 - that electors within the authority or within a parliamentary constituency which has any part in the authority may make a representation;
 - that the authority would welcome the views of all residents, particularly disabled residents, on the authority's proposals and on the Acting Returning Officer's representation or any other matters;
 - that the authority would welcome any person or body with expertise in access for persons with any type of disability to comment on the authority's proposals, the Acting Returning Officer's representation or any other matters;
 - that the persons or bodies making representations should, if possible, give alternative places that may be used as polling places;
 - the postal address, email address and website address at which documents can be inspected and representations made;

- an indication of the timetable of the review and a deadline for representations.

Notable is reference to the ability of electors to make representations, the importance of comments on access issues, where relevant documentation can be inspected and the anticipated timetable.

- 5.2 The authority should consider sending a copy of the notice to potential interested parties such as councillors, partner organisations, disability groups and other stakeholders.

6. PROPOSAL STAGES

- 6.1 The authority must devise a proposal for the new polling district and polling place arrangements.
- 6.2 The Acting Returning Officer for the local authority area must be consulted.
- 6.3 The Acting Returning Officer must comment on all existing polling stations used at the elections and any new polling stations which would probably be chosen if the new proposals were accepted by the authority and should focus on the access and staff accommodation, features and locations.
6. The location of the proposed polling districts and places are the responsibility of the local authority and the locations of the polling stations are the responsibility of the Acting Returning Officer.

7. CONSULTATION STAGE

- 7.1 The consultation stage is for representations and comments on the local authority proposals for polling districts and places. There are two parts to this:
- a compulsory submission from the Acting Returning Officer of the Parliamentary constituency;
 - submissions from other persons and bodies. These can be referenced to the Acting Returning Officer's proposed polling stations as well as the authority's proposals.
- 7.2 The Acting Returning Officer's report is based on deciding on the probable polling places due to the new proposals and analysing those polling places. Once the Acting Returning Officer has made comments, they must be published in accordance with the guidance.
- 7.3.1 The authority must consult widely on the review and seek out the views of interested groups, such as community and access groups. Consultees

should be asked for comment both in general and if appropriate about the particular buildings within the authority.

8. CONCLUSION OF REVIEW

- 8.1 The Authority must produce final proposals for the new polling districts and places. The final proposals must be made after taking into consideration all of the representations made. The proposals then need to be approved by Council.

9. PUBLISHING STAGE

Once the Council has agreed on the proposals, the new polling districts and polling places must be made available to the public. The reasons for the choice of every polling district and polling place must be given; these do not have to be too detailed but should show how accessibility issues were considered. Along with the reasons for the final decision of the review, a suite of further information must be published.

10. ISSUES

- 10.1 The principal issue for the committee at this stage is one of timetabling the conduct of the review in order to achieve the required deadline, whilst acknowledging a variety of critical dates in the process leading to conclusion of the review. Whilst the statutory requirement is for completion of the exercise by 31 January 2015, ideally a decision should be made by the latter half of November in order to enable the changes to be accommodated in the new electoral register to be published on 1 December 2014.

- 10.2 The timetable will be influenced by the following features of the process –

Preparation of documentation

The documentation referred above will need to be prepared and collated, some is readily available, some does not exist and some will need to be prepared for the purpose of the review. The documentation will need to be available to inform the preparation of proposals.

Acting Returning Officer's report

The Acting Returning Officer's report would be available within 1 week of the conclusion of preliminary proposals.

Public Consultation

Production of the Acting Returning Officer's report would enable public consultation to commence.

Final Proposals

Final proposals will need to be made to the committee following the

public consultation exercise.

Council resolution

Consideration and approval of final proposals.

11. RECOMMENDATIONS

11.1 That the Committee

- (a) consider and determine the timetable for the review, in association with the issues raised in paragraph 10 of this report ;
- (b) authorise the Chief Solicitor to take all necessary action to implement the review, and undertake appropriate consultations.

12. BACKGROUND PAPERS

12.1 The Electoral Registration and Administration Act 2013

13. CONTACT OFFICER

13.1 Peter Devlin
Chief Solicitor
Civic Centre
Victoria Road
HARTLEPOOL
TS24 8AY
E-mail: peter.devlin@hartlepool.gov.uk
Tel: 01429 523080

Lorraine Bennison
Principal Registration & Members' Services Officer
Civic Centre
Victoria Road
HARTLEPOOL
TS24 8AY
E-mail: lorraine.bennison@hartlepool.gov.uk
Tel: 01429 523017

FINANCE AND POLICY COMMITTEE

18th August 2014



Report of: Director of Public Health

Subject: DRUG AND ALCOHOL RECOVERY SUPPORT SERVICES

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Key Decision test (i) and (ii) applies - Forward Plan Reference No PH 07/14.

2. PURPOSE OF REPORT

2.1 The purpose of this report is to seek approval from the Finance and Policy Committee to secure a Drug and Alcohol Recovery Support Service, funded through the ring fenced Public Health Grant, to commence 1st April 2015.

3. BACKGROUND

3.1 As a consequence of the Health and Social Care Act 2012, in April 2013 Local Authorities assumed the accountability for the commissioning of Public Health Services. This has provided a timely opportunity to review the existing commissioning arrangements to shape and design future provision with input from stakeholder engagement, in line with the ongoing review of all public health contracts.

3.2 Public Health England (PHE) has published the following local statistics which provide detail around the need to be linked effectively to treatment services.

- **Past Benefits** - The benefit of drug treatment has resulted in a significant increase in *crimes prevented. In 2010-11 there were 13,143 crimes prevented.

**Includes robbery, house burglary, business burglary, theft of a vehicle, theft from a vehicle, shoplifting, bag snatch and cheque or credit card fraud.*

- **Cost Benefit Ratio** - During the Spending Review Period (2011/12 to 2014/15) drug treatment in Hartlepool is estimated to have a cost-benefit ratio of 1:5.51 - in other words, for every £1.00 spent on the local treatment system £5.51 is gained in total benefits.
 - **Scenario Planning** - There will be 568 more crimes committed in Hartlepool by drug misusing offenders for every £100,000 disinvested.
- 3.3 It is clear that any disinvestment in drug treatment may have a significant impact on our re-offending rates and therefore on our successful completions.
- 3.4 The existing contracts for Adult Drug and Alcohol Recovery and Reintegration, Harm Minimisation, Psychosocial Interventions, Education Training and Employment, Family and Carer Support and the Criminal Justice Interventions Team alongside Young People's Drug Treatment Services all come to an end on 31st March 2015. There is no further opportunity to extend existing arrangements, therefore a review of services is required, in order to ensure that identified need is still being met and a new recovery model is developed to continue to meet that need.
- 3.5 A full service review is being conducted alongside consultation with stakeholders, providers and service users in order to shape future service provision, the outcome of which will support the development of the new recovery model beyond April 2015.

4. PROPOSALS

- 4.1 Following final outcome of review and consultation it is proposed to secure a new Drug and Alcohol Recovery Support Service designed to meet the continuing need of service users, their families and carers.

5. RISK IMPLICATIONS

- 5.1 There is a risk that if we do not secure a recovery focused psychosocial support service in Hartlepool clients, their families and carers will not be encouraged to develop their recovery journey and therefore will be unlikely to leave treatment in a planned way and reintegrate effectively back into their community.

6. FINANCIAL CONSIDERATIONS

- 6.1 As part of securing a service, providers will be encouraged to look at efficiency and innovative practice to provide the best possible value for money. Whilst the quality of the proposed service will be the most important factor in the final decision, the proposed costs of any application will also be a factor in the final decision and award of contract.

- 6.2 There is a need to commit resource for the procurement of a Drug and Alcohol Recovery Service from 2015/16 even though the Public Health Grant allocation for that financial year is not known therefore this will need to be prioritised.

7. STAFF CONSIDERATIONS

- 7.1 Any successful bidder may be subject to TUPE regulations with regards to staff. There are 53 members of staff employed by the current service providers, with varying working hours.

8. EQUALITY AND DIVERSITY

- 8.1 A diversity impact assessment will be undertaken as part of the service review process to identify the impact on Hartlepool residents, as a whole and those families affected by substance misuse in particular. From a Public Health perspective the focus would be on the increased risk to the community in relation to the spread of Blood- Borne Viruses and infectious disease, needlestick injuries, hidden harm and increased criminal activity.

9. RECOMMENDATIONS

- 9.1 It is recommended that the Finance and Policy Committee approves the development of a new service specification during 2014/15 taking into consideration current local needs and views from the engagement process.
- 9.2 It is recommended that the Finance and Policy Committee agree to secure a provider for the Drug and Alcohol Recovery Support Service to be funded by the ring fenced Public Health Grant 2015/16

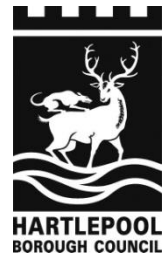
10. CONTACT OFFICER

Louise Wallace
Director of Public Health
Hartlepool Borough Council
Level 4, Civic Centre
TS24 8AY
Tel 01429 523773
Email: louise.wallace@hartlepool.gov.uk

Karen Clark
Service Delivery Manager – Drugs and Alcohol
Community Drug Centre
Whitby Street
TS24 7AB
Tel 01429 852835
Email: Karen.clark@hartlepool.gov.uk

FINANCE AND POLICY COMMITTEE

18th August 2014



Report of: Director of Public Health

Subject: STOP SMOKING SERVICE

1. TYPE OF DECISION/APPLICABLE CATEGORY

Key Decision test (i) and (ii) applies - Forward Plan Reference No PH/06/14

2. PURPOSE OF REPORT

- 2.1 The purpose of this report is to seek approval from the Finance and Policy Committee to secure a Stop Smoking Service, funded through the ring fenced Public Health Grant, to commence 1st April 2015.

3. BACKGROUND

- 3.1 As a consequence of the Health and Social Care Act 2012, in April 2013 Local Authorities assumed the accountability for the commissioning of Public Health Services. This has provided a timely opportunity to review the existing commissioning arrangements to shape and design future provision with input from stakeholder engagement, in line with the ongoing review of all public health contracts.
- 3.2 On 1st April 2013, under the statutory transfer order, the Council inherited a contract for Stop Smoking Services provided by North Tees and Hartlepool Foundation Trust. On 29th November 2013 the Finance and Policy Committee agreed to place a one year contract from April 2014 with the existing provider of Stop Smoking Services, North Tees and Hartlepool Foundation Trust. In the spirit of openness and transparency it was also agreed that the Local Authority would publish a Voluntary Ex-Ante Transparency Notice (VEAT) in relation to this proposed contract award.
- 3.3 Smoking remains the single biggest preventable cause of premature death in the UK today. It is responsible for one in five of all deaths in adults aged 35 and over – more than is caused by alcohol, car accidents, suicide, AIDS, murder and illegal drugs combined. One in two long-term smokers will eventually die as a result of their addiction.

- 3.4 Whilst the North East and England have made significant progress in the last decade in reducing adult and youth smoking rates, it is clear that rates amongst priority groups such as routine and manual workers, pregnant women and people with mental health issues are significantly higher than in the general adult population. The overall North East adult smoking rates declined from 29% in 2005 to 21% in 2011. This was the largest overall regional decline in England over this time period. However, over the last two years, as measured by the General Lifestyle Survey, the traditional data set used to measure regional smoking prevalence smoking rates appear to have stagnated in the North East at around 20-22% and are yet to break through the 'magical' 20% barrier.
- 3.5 The latest data on smoking prevalence for Hartlepool shows there has been an increase from 23.5% to 28.2%, with prevalence for routine and manual workers at 33.2%. It remains to be seen whether this is an upward trend or a change in data collection time-lines.
- 3.6 Smoking in pregnancy poses a significant health risk to both mother and the unborn child. Health profiles published in September 2013 indicate that 259 Hartlepool women were recorded as smoking at the time of delivery. This equates to 22.7% of all maternities within the locality which is significantly higher than the England average (13.3%).
- 3.7 The existing Stop Smoking Service serves the populations of both Hartlepool and Stockton on Tees. The main objectives of the current service are:
- To achieve smoking cessation targets and contribute to the reduction of smoking prevalence
 - To provide smoking cessation training, support, quality assurance and development to health and health-related professionals
 - To develop the service in such a way as to engage disadvantaged, hard to reach and vulnerable groups with a view to reducing the inequalities gap.
- 3.8 The current service operates a community-based drop in model providing clinics in a community setting using a wide variety of venues across the town on a range of days and times ensuring easy access. They also support the delivery of a structured one to one delivery of stop smoking service in a selection of pharmacies in the town. Closed groups in workplace settings are offered by arrangement, family/couple home visits for pregnant women and a combination of home and telephone support for the housebound.
- 3.9 The original target set by the Strategic Health Authority was based on achievement over a 3-year period. As Hartlepool had always performed well – being ranked as either best or second best in the Country (per 100,000 population) - an extremely high 4-week quit target, which is the number of people who set a quit date and remain stopped smoking for 4 weeks, was set. In line with regional and national trends it is only in the last year that the high target has not been reached with less quitters accessing services, therefore less 4-week quits. For future service delivery it is expected that more emphasis be placed on accessing harder to reach groups such as routine and

manual workers, pregnant women, those with mental health problems, those from most disadvantaged wards rather than chasing a high 4-week quit rate.

4. PROPOSALS

- 4.1 It is proposed to plan and implement the review of smoking cessation services through a joint approach between Hartlepool and Stockton on Tees Local Authorities. This joint approach will allow us to compare and contrast our service provision with another local authority who is procuring a very similar service at exactly the same time. It will provide an opportunity to determine whether there is any best practice that could be shared, economies of scale that could be identified and utilised and whether there are any options available for more efficient ways of procuring, especially if future service provision requirements are effectively delivered in the same manner.
- 4.2 Approval is then being sought to secure a new stop smoking service. This may, or may not lead to a 'joint' procurement with Stockton Council but once approval is given to secure a service, this will be carried out by the most economic and efficient means possible with the residents of Hartlepool at the forefront of decision making. 4.3 In effect the decision on the procurement methodology will be made by selecting the most efficient and economical procurement pathway from the range of procurement tools that are currently at our disposal to ensure that a fit for purpose service model is in place from the 1st April 2015.

5. RISK IMPLICATIONS

- 5.1 It is vital to secure a new Stop Smoking Service for Hartlepool to support residents in quit attempts and provide training, quality assurance and ongoing support to a range of partner agencies in raising the issue of smoking cessation, to help tackle the high smoking prevalence in the town. Smoking is the biggest contributor to health inequalities and there is strong evidence that quitters are four times more likely to quit when receiving advice and support, alongside appropriate nicotine replacement treatment, from a specialist adviser.

6. FINANCIAL CONSIDERATIONS

- 6.1 As part of the procurement process, potential bidders will be encouraged to look at efficiency and innovative practice to provide the best possible value for money. Whilst the quality of the proposed service will be the most important factor in the final decision, the proposed costs of any application will also be a factor in the final decision and award of contract.
- 6.2 Any successful bidder may be subject to TUPE regulations with regards to staff. There are currently 15 members of staff employed across Hartlepool

and Stockton on Tees through the current service provider with varying working hours.

- 6.3 There is a need to commit resource for the procurement of a Stop Smoking Service from the 2015/16 ringfenced public health grant even though the Public Health Grant allocation for that financial year is not known therefore this will need to be prioritised.

7. LEGAL CONSIDERATIONS

- 7.1 The Health and Social Care Act (2012) identified smoking cessation services as a discretionary responsibility for Local Authorities to make available to meet the needs of their population.

8. STAFF CONSIDERATIONS

- 8.1 The overall service manager leads a team of 14 staff. Only three Advisers in the Service work predominantly in one geographical area – one Advisor is specific to Hartlepool and two are specific to Stockton. The remaining Advisers have specific development work assigned, which spans across both local authority areas such as lung health, workplace and occupational health and outreach work with the ethnic minority community.

9. EQUALITY AND DIVERSITY IMPLICATIONS

- 9.1 An Equality Impact Assessment will be undertaken as part of the service review to comply with the Equality Act of 2010.

10. RECOMMENDATIONS

- 10.1 It is recommended that the Committee approves the development of a new service specification for stop smoking services during 2014/15 to meet the needs of local people and based on their views gained through the consultation and service review process.
- 10.3 It is recommended that the Finance and Policy Committee agree to secure a provider for a Stop Smoking Service, funded by the ring fenced public health grant in 2015/16.

11. BACKGROUND PAPERS

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

Local Stop Smoking Service Guidance Service Delivery and Monitoring
Guidance 20011/12

<https://www.gov.uk/publications/guidance>

NICE Guidance: Supporting People to Stop Smoking

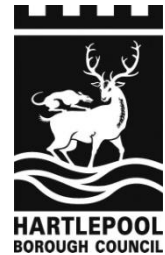
12. CONTACT OFFICER

Louise Wallace
Director of Public Health
Hartlepool Borough Council
Level 4, Civic Centre
TS24 8AY
Tel 01429 523773
Email: louise.wallace@hartlepool.gov.uk

Carole Johnson
Head of Health Improvement
Public Health Department
Hartlepool Borough Council
Level 4, Civic Centre
TS24 8AY
Tel 01429 523583
Email: carole.johnson@hartlepool.gov.uk

FINANCE AND POLICY COMMITTEE

18th August 2014



Report of: Director of Regeneration and Neighbourhoods

Subject: DISPOSAL OF SURPLUS ASSETS - SEATON LANE SITES

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Key Decision (test (i) and (ii)) Forward Plan Reference No. RN 13/09

2. PURPOSE OF REPORT

2.1 To seek approval to grant an exclusivity period in advance of the proposed sale of Council owned sites in Seaton Lane for the development of healthcare facilities.

3. BACKGROUND

3.1 Members previously agreed on 18th October 2013 to the sale of three areas of land on Seaton Lane including the Educational Development Centre (EDC) site shown highlighted on the plan at **Appendix 1** for the construction of general needs housing.

3.2 The sale of the land has failed to proceed as the successful tenderer significantly reduced their bid for the site subsequent to a full site investigation being undertaken. The level of reduction proposed to reflect abnormal development costs was considered by the Councils Engineers to be excessive and in some cases unnecessary (**Confidential Appendix 2** This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely, (para 3) information relating to the financial or business affairs of any particular person (including the authority holding that information). As such it has not been possible to agree an acceptable price and the developers have withdrawn from the sale.

- 3.3 Recently an approach has been made from a healthcare developer looking for sites in the Hartlepool area to construct specialist care facilities for which there is currently a shortage within the Borough.
- 3.4 The developer is interested in all three of the sites that were previously marketed but they are willing to agree headline values in line with those previously agreed with the original tenderer as part of the original tender process.
- 3.5 It is proposed to grant a 4 month exclusivity agreement (EA) to enable the developer to undertake their own site investigation works. Negotiations will then be undertaken to agree a final price subject to Committee approval and then conditional contracts can be entered in to enable planning permission, highway and other statutory permissions to be sought prior to completion.
- 3.6 The terms of the EA are set out in **CONFIDENTIAL APPENDIX 3 (This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely, (para 3) information relating to the financial or business affairs of any particular person (including the authority holding that information)).**
- 3.7 The EDC/PRU building will shortly be vacant, security arrangements are being made and the options for its future including re-use and demolition are being considered.

4. PROPOSALS

- 4.1 It is proposed to proceed with the EA as outlined in **CONFIDENTIAL APPENDIX 2 (This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely, (para 3) information relating to the financial or business affairs of any particular person (including the authority holding that information)).**
- 4.2 If the EA does not proceed, it is proposed to re-market the sites for sale including the EDC/PRU site.

5. FINANCIAL CONSIDERATIONS

- 5.1 The anticipated sale of the EDC/PRU and the undeveloped Seaton Lane sites forms an important part of the Medium Term Financial Strategy and Capital Receipts programme. The proposed EA will, it is hoped, lead to a successful sale at a figure which will support the MTFS and Capital Receipts programme.

6. ASSET MANAGEMENT CONSIDERATIONS

- 6.1 The attention of the Committee is drawn to the Asset Management element of the Medium Term Financial Strategy. The decision taken in January 2009 requires a commercial, proactive approach to be taken on Asset Management issues, the proceeds of this transaction being a contribution to the Medium Term Financial Strategy (MTFS).
- 6.2 The decision to adopt a commercial approach to asset management requires the Council to realise the full value of any properties or property rights that it disposes of.

7. RECOMMENDATIONS

- 7.1 Committee is recommended to approve the Exclusivity Agreement outlined in **CONFIDENTIAL APPENDIX 3 (This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely, (para 3) information relating to the financial or business affairs of any particular person (including the authority holding that information).**

8. REASONS FOR RECOMMENDATIONS

- 8.1 The sale of the sites forms an integral part of the MTFS.
- 8.2 The reason for granting an Exclusivity Agreement (EA) is to allow the developer to carry out site investigations and related works, with a lowered risk of abortive costs. Given the substantial work involved, the developer requires a period of exclusivity during which the Council will not market the land or have discussions with any other party regarding disposal. The intention of the developer is to make an offer for the land once he has completed the site investigation work and terms have been discussed on a subject to contract basis that are acceptable.
- 8.3 The alternative of simply re-marketing the sites for sale is likely to take longer to achieve a sale, and a further advantage is that the proposed development will not compete with other sites that the Council has in the disposal programme as it will not be developed for private market housing.
- 8.4 The proposed development will provide good quality modern residential care for mental health, and Acquired Brain Injury accommodation and will provide employment, currently estimated by the developer at 150 to 200 jobs (including part time).

9. BACKGROUND PAPERS

- 9.1 Finance & Policy Committee 18th October 2013 – Disposal of Surplus Assets – Capital Receipts Programme

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

- 10.1 The development of these sites is considered likely to contribute positively to a reduction in low level crime and anti social behaviour in the area.

11. EQUALITY AND DIVERSITY CONSIDERATIONS

- 11.1 There are no equality or diversity considerations in this instance.

12. STAFF CONSIDERATIONS

- 12.1 There are no staff considerations in this instance.

13. CONTACT OFFICER

- 13.1 Denise Ogden
Director of Regeneration and Neighbourhoods
Civic Centre
Victoria Road
Hartlepool
TS24 8AY
Email denise.ogden@hartlepool.gov.uk
Tel: 01429 523301

Damien Wilson
Assistant Director (Regeneration)
Civic Centre
Victoria Road
Hartlepool
TS24 8AY
Email damien.wilson@hartlepool.gov.uk
Tel: 01429 523400

APPENDIX 1

5.4

Finance and Policy Committee – 18th August 2014



FINANCE AND POLICY COMMITTEE

18th August 2014



Report of: Chief Executive Officer and Chief Solicitor

Subject: POTENTIAL MERGER OF THE TEESSIDE AND
HARTLEPOOL CORONER AREAS

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Non key decision.

2. PURPOSE OF REPORT

2.1 The Finance and Policy Committee on 21st July, 2014, agreed *“in principle”* to support a merger, subject to a presentation on the final Business Case. This report therefore presents that final Business Case for the merger of the Teesside and Hartlepool Coroner areas and also the stakeholder responses, as appended to that Business Case.

3. BACKGROUND

3.1 As previously reported to the Committee, following the retirement of the then Senior Coroner for Teesside on 30th April, 2014, Middlesbrough Borough Council as the *“relevant authority”* for the Teesside Coroner area were statutorily required to notify the Lord Chancellor and the Chief Coroner of the creation of a vacancy in the position of Senior Coroner. As well as this notification under the Coroners and Justice Act, 2009, Middlesbrough Borough Council proceeded to nominate the Assistant Coroner, Ms Clare Bailey to the role of Acting Senior Coroner for Teesside and also to appoint the Senior Coroner for Hartlepool, Mr Malcolm Donnelly, as Assistant Coroner for Teesside.

3.2 The Lord Chancellor had initially responded to Middlesbrough Borough Council indicating his support to a merger of the Teesside and Hartlepool Coroner areas, subject to consideration of a Business Case. The Chief Coroner’s Guidance Notes 14 *“Merger of the Coroners Areas”* was previously attached to the report to the Committee and is further appended herewith (**Appendix A**) for the sake of completeness. That guidance indicates that the *“....Lord Chancellor may, after consultation make orders*

altering coroner areas and either combining, merging, or dividing coroners areas". In the Chief Coroner's 'First Annual Report: 2013-2014' to the Lord Chancellor it is mentioned that the present structure of the Coroner system within England and Wales comprises 99 Coroner areas, with 90 Senior Coroners. In the confines of that report it is noted that "it makes good sense to reduce those 99 Coroner areas to about 75 in number, maybe fewer, where each Coroner area is an approximate size in terms of numbers of deaths reported, geographically and in terms of special work involving prisons, major hospitals, mental health institutions and airports, all of which affect the workload of the local coroner service". It had previously been the recommendation of the Luce Review in 2003, that "the number of coroner areas should be reduced in order to create sensibly sized coroner areas" and it has been suggested that an approximate caseload of some 3,000 – 5,000 reported deaths each year would provide the appropriate workload of a coroner area. Of note, 19 Coroner areas were merged in 2013 to create 9 new areas. Further, a reduction to about 80 coroner areas in the short to medium term is considered as being "realistic" with 75 or fewer coroner areas being the longer term objective.

4. BUSINESS CASE FOR MERGING THE TEESSIDE AND HARTLEPOOL CORONER AREAS

- 4.1 Attached herewith (**Appendix B**) is the Business Case for merging the Teesside and Hartlepool coroner areas to be received by each constituent authority within the Teesside coroner area and by Hartlepool Borough Council which administers the Hartlepool coroner area. The Business Case has necessarily been assessed against the Chief Coroner's Guidance Note No 14 and the 'Key Business Outcomes' within that guidance are specified below;

Improved Outcomes for customers as measured by the;

- timeliness of inquests
- availability and accessibility of the service,
- cost effectiveness

Streamlined processes for partners
Responsiveness to future demand

- 4.2 It has already been mentioned the suggested threshold of a caseload sufficient to justify a coroner area and in 2013, the Teesside Coroner Service managed 2,635 reported deaths, while the Hartlepool Coroner Service managed 340 reported deaths. This combined caseload of 2,975 is therefore approximate to the lower reaches of the suggested caseload suggested in order to sustain a coroner area. It is also noted that the Teesside Coroner Service manages an above average number of "enhanced" cases, including within its jurisdiction Her Majesty's Prison Holme House, which also operates a Palliative Care Unit within its health care provision. Consequently, terminally ill prisoners from within the region

are transferred to Holme House, as indicated within the Business Case. Further, the James Cook University Hospital is a major trauma centre which again falls within the jurisdiction in the Teesside area which can provide a caseload of some complexity.

4.3 The Committee will observe that the most cost effective structure model building in and maximising both flexibility and resilience is shown below;

- 0.8 FTE Senior Coroner
- 0.8 FTE Assistant Coroner (acting as designated deputy)
- Assistant Coroner days – as required (estimated need 15 – 20 days)

The structure model is based on business needs and the ability to deliver improved outcomes for customers, in compliance with the Chief Coroner's guidance. To allay the fears of Hartlepool residents, confirmation has been sought and it has been confirmed that Hartlepool residents will continue to have Inquests held in Hartlepool, most probably by the existing Hartlepool Coroner. Both Ms Bailey and Mr Donnelly are fully supportive to a merger taking place. In addition, other key stakeholders have also indicated their support to the proposed merger. Those stakeholder responses are to be found within the confines of the business case. As an additional note, the Coroner Stakeholder Reference Group which met in late March, 2014 to discuss the likely options of a merger and to which there was support for merger is outlined in the confines of the Business Case. That document also contains information on "*succession planning*" and the Committee will note the preference for "*Option 1 – in that the relevant authority may appoint one of the Senior Coroners from the existing coroner area*". The alternative option is appointment through 'open competition' but the authorities have been advised that Option 1 is usually seen as the "*preferred option*". It is therefore proposed to offer the 0.8 FTE Senior Coroner post to the Senior Coroner from Hartlepool, Mr Malcolm Donnelly, subject to the relevant authorities and the Senior Coroner being able to agree terms. The "*cost effectiveness*" of a merged service is also fully outlined within the Business Case. However, of note, the Coroners and Justice Act, 2009 introduces the requirement for the appointment of Medical Examiners and Support Officers and there will clearly be cost considerations involved in meeting these statutory requirements, in due course. It is therefore considered that both the structure and financial considerations behind that model, would allow a robust and resilient structure and an ability to be responsive to future demand.

5. LEGAL CONSIDERATIONS

5.1 Middlesbrough Borough Council as the "*relevant authority*" for the Teesside coroner area had notified the Lord Chancellor and the Chief Coroner as to the creation of a vacancy in the office of Senior Coroner for that jurisdiction. The Lord Chancellor had responded and that he would be supportive of a merger of the Teesside and Hartlepool coroner areas subject to the receipt and consideration of a business case for amalgamation. Importantly, "*he*

would equally expect to see a business case setting out reasons for not merging the two areas if that is what is decided". There appears to be almost universal support for amalgamation of the Hartlepool and Teesside coroner areas. This also resonates with the Chief Coroner's guidance and the structural reforms outlined within his 'First Annual Report: 2013-2014'. Middlesbrough Borough Council's Executive will consider and be recommended to approve the Business Case at a meeting on 12th August, 2014. There will also be the submission of the Business Case through the three other local authorities and subject to all necessary approvals the business case will be submitted to the Lord Chancellor. Thereafter the Ministry of Justice will consult with stakeholders and interested parties with a minimum of four weeks consultation and in the likely confines of three months consider the outcome of that consultation exercise and make formal recommendations to the Lord Chancellor. If approved the Lord Chancellor will then lay down legislation before Parliament for implementation.

6. FINANCIAL CONSIDERATIONS

- 6.1 The financial considerations are set out within Appendix B and outlines the cost of the operation of the Hartlepool Coroner Services for the period 2013/14 was £182,000. The cost of the Teesside Coroner Service for the same period was £942,488. The estimated costs on a proportionate basis of a proposed amalgamation sees potential savings to this Council of £32,210 and over a combined area these savings could extend to £228,991 over the period 2015/16.

7. EQUALITY AND DIVERSITY CONSIDERATIONS

- 7.1 Not applicable at this stage although a business case may require an impact assessment.

8. SECTION 17 OF THE CRIME AND DISORDER ACT, 1998

- 8.1 There are no Section 17 implications to be considered as part of this report.

9. RECOMMENDATIONS

The Committee is recommended to

1. Agree to the proposed merger of the Hartlepool and Teesside coroner areas and for the submission through Middlesbrough Borough Council of a Business Case (**Appendix B**) to the Lord Chancellor.
2. That subsequent reports be brought to the Committee as to the progress of this submission, as and when deemed appropriate.

10. REASONS FOR RECOMMENDATIONS

The Council has received a request from Middlesbrough Borough Council as the relevant authority and under correspondence from the Lord Chancellor, to consider the proposed amalgamation of the Teesside and Hartlepool coroner areas.

11. BACKGROUND PAPERS

Report of the Chief Coroner to the Lord Chancellor – First Annual Report: 2013-2014.

12. CONTACT OFFICERS

Dave Stubbs
Chief Executive
Hartlepool Borough Council
01429 523001
dave.stubbs@hartlepool.gov.uk

Peter Devlin
Chief Solicitor
Chief Executives Department
Hartlepool Borough Council
01429 523003
peter.devlin@hartlepool.gov.uk



GUIDANCE No. 14

MERGERS OF CORONER AREAS

Introduction

1. The purpose of this guidance is to advise local authorities and coroners of the powers under the Coroners and Justice Act 2009 (the 2009 Act) to merge coroner areas.
2. The guidance is also intended to identify the consequences of a merger in terms of the appointment of a senior coroner for the newly merged area and the position of senior coroners (and area and assistant coroners) from the old areas merged together.
3. Having considered the provisions (including the transitional provisions) of the 2009 Act, particularly Schedules 2, 3 and 22, and the Coroners and Justice Act 2009 (Coroners Areas and Assistant Coroners) Transitional Order 2013, all of which came into force on 25 July 2013, the Chief Coroner sets out the following guidance.
4. This guidance has been discussed with the Lord Chancellor and its contents are agreed.

Coroner areas

5. When the 2009 Act came into force in 2013 all coroner districts in England and Wales became coroner areas automatically. The names of the districts became the names of the areas.
6. A local authority area may comprise one or more coroner areas. In some parts of the country a coroner area is coterminous with the area of a local authority, whereas in others it may be part only of a local authority area. A coroner area may also consist of the combined areas of two or more local authority areas, with one local authority taking the lead for coroner purposes as the relevant authority for the coroner area.
7. However, where a new coroner area is created by combining two or more old coroner areas (under powers of the Lord Chancellor in the 2009 Act), the new

coroner area cannot consist of part only of a local authority area. It must consist of a whole local authority area or more than one local authority area.

8. Where decisions are to be made about mergers of coroner areas or the appointment of a senior coroner for a newly created coroner area, in the case of a coroner area consisting of two or more local authority areas, the relevant authority must consult the other authorities before making a decision.
9. For the purposes of this guidance the local authority (whether a single authority or multiple authorities) will be referred to as the relevant authority.

Mergers of coroner areas

10. The Lord Chancellor may, after consultation, make orders altering coroner areas, either combining (merging) or dividing coroner areas.
11. The Lord Chancellor has no present plans for dividing coroner areas.
12. There are presently 99 coroner areas in England and Wales (with 96 senior coroners). It is the view of the Chief Coroner, following upon the recommendations of the *Luce Review* in 2003¹, that the number of coroner areas should be reduced in order to create sensibly sized coroner areas, taking into account the numbers of reported deaths, geographical size and types of coroner work in the area. In many cases 3,000-5,000 reported deaths would be an appropriate number, although smaller or larger areas may in places be appropriate. There are many part-time coroner jurisdictions which are too small for effective management and cost-efficiency.
13. In the short term mergers of coroner areas are only likely to take place with the agreement of all local authorities concerned. The Lord Chancellor must in any event consult with local authorities (amongst others) before ordering a merger. There is, however, no reason in principle why the Lord Chancellor should not in due course combine areas after consultation but without agreement where there is a clear case for merger.
14. Where a relevant authority wishes to merge one or more coroner areas into one larger coroner area it should apply to the Lord Chancellor with written reasons, effectively a business case for the merger. Before doing so it should consult with the Chief Coroner.
15. Where, following consultation, the Lord Chancellor makes an order altering coroner areas by combining an existing coroner area with one or more coroner areas, the newly combined area will receive a new name from the Lord Chancellor.
16. As above, a newly combined coroner area cannot consist of only part of a local authority area. It must consist of a whole local authority area or more than one local authority area.
17. In considering a potential merger local authorities are encouraged to think carefully about the future of their coroner area(s), including sensible succession

¹ *Death Certification and Investigation in England, Wales and Northern Ireland: The Report of a Fundamental Review*, Cm 5831.

where appropriate for the post of senior coroner, and planning for the prudent development of their local coroner service in the interests of the public.

18. Where possible the relevant authority should state its intentions about the appointment of a new senior coroner in advance of merger. In this way senior coroners who may be affected by the merger will know in advance what is intended and can, if required, have discussions with the relevant authority about their future.

Appointment of new senior coroner

19. Where a new coroner area is created by the merger of one or more coroner areas (the old areas), the relevant authority must appoint a senior coroner for the new area. The appointment must be made within three months of the merger (or within whatever further period the Lord Chancellor allows).

20. The relevant authority responsible under the 2009 Act will appoint a senior coroner for the new coroner area in one of two ways:

Option 1. - The relevant authority may appoint one of the senior coroners from the old areas.

Option 2. - Alternatively, the relevant authority may appoint a senior coroner following an open competition. The competition will be open to all suitably qualified coroners.

21. In either case the appointment of the new senior coroner cannot be made without the consent of the Lord Chancellor and the Chief Coroner.

22. It will be a matter for the relevant authority to decide which option to choose, bearing in mind the matters set out below. The relevant authority may seek the views of the Chief Coroner or the Ministry of Justice but in the end it will be the relevant authority's decision.

23. If option (1) is chosen there will be no open competition.

Option 1: Appointment from one of the senior coroners of the old areas

24. Relevant authorities are advised that option (1) should usually be the preferred option. It has the effect of preserving the status quo (in part at least), of allowing an existing coroner to remain in office and therefore not putting an existing coroner at risk of loss of senior coroner office in an open competition. It also avoids the possible payment of compensation for early retirement (see below).

25. But the relevant provisions of the 2009 Act do not provide automatic inheritance of the newly formed coroner area for the remaining coroner (where there is only one remaining). If two coroner areas are merged into one when one of the existing senior coroners retires, the other senior coroner has no entitlement as of right to become the new senior coroner. A new senior coroner must be appointed for the new coroner area and it will be a matter for the relevant authority as to how to proceed, with option (1) or option (2).

26. Where option (1) is chosen the relevant authority must be satisfied that their choice of senior coroner is a rational, fair and proportionate decision. The coroner so appointed may be over the age of 70 and/or not comply with the 5-year judicial

appointment eligibility condition, so long as the coroner was in post as senior coroner for one of the old areas when the 2009 Act came into force. Against this legislative background local authorities are reminded that all coroners hold office on whatever terms they agree with their relevant authority.

27. Local authorities are reminded that senior coroners may only be removed from office by the Lord Chancellor (with the agreement of the Lord Chief Justice) for incapacity or misbehaviour. Local authorities appoint senior coroners but they do not employ them. **They cannot remove or dismiss senior coroners by merger of coroner areas or in any other way.**
28. Where, therefore, two or more areas are to be merged, the relevant authority must look carefully at the options in advance in order to achieve fairness for the senior coroners of the old areas.
29. There can only be one senior coroner in a newly merged coroner area. Merger of two or more coroner areas will therefore involve the loss of office of one or more senior coroners. If one (or more) retires leaving only one senior coroner from the old areas remaining, under option 1 that senior coroner will usually be chosen as senior coroner for the newly merged coroner area, subject to the necessary consents.
30. Where however there are two (or more) senior coroners from the old coroner areas, the relevant authority will apply one or more of the following alternatives -
 - (1) Appoint one as the new senior coroner.
 - (2) Allow one or more to retire.
 - (3) Offer the other (or others) where appropriate the salaried post of area coroner for the enlarged area at no loss of salary, or
 - (4) Pay agreed compensation for early retirement.
31. It is expected that the relevant authority will take all reasonable steps to accommodate a former senior coroner who is displaced from the post of senior coroner by this process.
32. The relevant authority would be well advised to consider these alternatives in advance of merger.

Option 2: Appointment following open competition

33. Where the relevant authority decides upon option (2), the relevant authority will apply one or more of the following alternatives -
 - (1) Hold an open competition. One or more senior coroners of the old areas may apply for the new post, as well as other candidates from within or outside the old coroner areas. The relevant authority appoints the best candidate after a full and open competition (subject to the necessary consents). See the Chief Coroner's Guidance No. 6 *The Appointment of Coroners*.
 - (2) Allow one or more senior coroners to retire.
 - (3) Offer the other (or others) where appropriate the salaried post of area coroner for the enlarged area at no loss of salary, or
 - (4) Pay agreed compensation for early retirement.

34. Where a senior coroner (or senior coroners) applies but fails to win the competition, that senior coroner (or senior coroners) will be offered alternatives (2) – (4).
35. The relevant authority which decides on option (2) would be well advised to consider these alternatives in advance of merger.

Compensation

36. As a result of the process of merger, in particular in relation to option (2), one or more senior coroners from the old coroner areas may no longer hold the position of senior coroner. It is arguable that the displaced senior coroner (or senior coroners) is entitled to remain a salaried coroner (with no reduction in salary) but not entitled as of right to continue to hold the office of senior coroner. Be that as it may one of the alternatives in the process is to offer a displaced senior coroner from an old area a new position as area coroner in an enlarged merged area.
37. Another alternative is to offer and agree compensation for early retirement.
38. The amount of compensation will be a matter for the relevant authority. Local authorities will have their own established procedures for assessing compensation for loss of contract of employment which can no doubt be used in appropriate cases as a starting point for assessing loss of office. They will of course have to take into account the existing agreed terms and conditions between coroner and relevant authority and be mindful that senior coroners in post at the coming into force of the 2009 Act are not obliged to retire at the age of 70.

Area coroners and assistant coroners

39. Where two or more areas are merged the relevant authority of the new area, together with the new senior coroner, will have to re-assess the extent of the coroner team. Existing area coroners and assistant coroners cannot lose their posts just as a result of a merger. But the relevant authority is entitled to consider the needs of the newly merged area.
40. As the Chief Coroner's Guidance No. 6 *The Appointment of Coroners* provides, area and assistant coroners appointed after the coming into force of the 2009 Act should be appointed for an initial term of 12 months and thereafter for a renewable term of three years. For those who held these posts in the old areas, either as old or new appointments, they should also be subject to renewable terms for posts in the new coroner area.
41. The Guidance also provides that assistant coroners who have not worked for three years should not be retained. That should apply to old and new areas.
42. Relevant authorities should always bear in mind that they can negotiate with all coroners for 'whatever terms are from time to time agreed' (paragraph 19, Schedule 3 to the Act).

Advice

43. In addition to receiving this written guidance local authorities or coroners may discuss any of these matters with the Ministry of Justice or the Chief Coroner's office at any time.

44. The Guidance of the Chief Coroner, Guidance No.6 *The Appointment of Coroners*, will be subject to this guidance and amended accordingly.

**HH JUDGE PETER THORNTON QC
CHIEF CORONER**

1 May 2014

MIDDLESBROUGH COUNCIL

Coroner's Service	Business Case which supports the merger of the Teesside and Hartlepool Coroner areas
Deputy Mayor	Cllr David Budd
Director of Transformation	Tony Parkinson
Date:	12 August 2014

PURPOSE OF THE REPORT

1. The purpose of this report is to set out the business case for merging the Teesside and Hartlepool Coroner areas.

SUMMARY OF RECOMMENDATIONS

2. It is recommended that:
 - the business case, which supports a merger of the Teesside and Hartlepool Coroner areas, is agreed
 - the recommended Coroner model for the proposed merged service is supported
 - Executive note that the final business case has been circulated to the other Tees Valley local authorities for consideration
 - Executive note that key stakeholders support a merger of the Teesside and Hartlepool Coroner areas
 - the Assistant Director for Organisation and Governance is given the authority to make minor changes to the business case that may be required following formal consideration by the other Tees Valley local authorities
 - the finalised business case, which supports a merger, is approved for submission to the Lord Chancellor.

IF THIS IS A KEY DECISION WHICH KEY DECISION TEST APPLIES?

3. It is over the financial threshold (£150,000)
It has a significant impact on 2 or more wards
Non Key

X

DECISION IMPLEMENTATION DEADLINE

4. For the purposes of the scrutiny call in procedure this report is

Non-urgent	<input checked="" type="checkbox"/>
Urgent report	<input type="checkbox"/>

If urgent please give full reasons

BACKGROUND AND EXTERNAL CONSULTATION

5. The Teesside Coroner's Service encompasses Middlesbrough, Redcar and Cleveland, and Stockton council areas, with Middlesbrough Council designated as the Relevant Authority. Hartlepool has a separate Coroner's Service, while Darlington and Durham have a joint Coroner Service.
6. Mr Michael Sheffield retired from the post of Senior Coroner for Teesside on 30th April 2014. In line with the Coroners and Justice Act 2009 Middlesbrough Council has notified the Lord Chancellor and the Chief Coroner's Office of this vacancy. Until a permanent appointment is made the former Assistant Coroner for Teesside, Claire Bailey is appointed as Acting Senior Coroner for Teesside. To provide additional support to the Teesside Coroner's Service the Senior Coroner for Hartlepool, Mr Malcolm Donnelly, has been appointed as an Assistant Coroner for Teesside.
7. The Lord Chancellor has written to Middlesbrough Council and requested that Middlesbrough Council prepares a business case that demonstrates why a merger of the Teesside and Hartlepool Coroner Services should or should not be supported.
8. A draft business case has been prepared and is attached at Appendix A. The draft business case is being considered by the other three local authorities who are being asked to support the proposal that the two coroner areas merge to create one coroner area and also endorse the proposed form of that merged service.

Summary of the Business Case

9. The evidence is assessed against the Chief Coroner's guidance on mergers and the key business outcomes required, which are:
 - improved outcomes for customers as measured by the:
 - timeliness of inquests
 - availability and accessibility of the service
 - cost effectiveness
 - streamlined processes for partners
 - responsiveness to future demand.
10. A merger would comply with the Chief Coroner's Guidance which states that coroner areas should be reasonably sized, i.e. dealing with between 3,000 – 5,000 reported deaths. A merger would result in the new area dealing with just under 3,000 reported deaths.
11. The merger of the Teesside and Hartlepool Coroner areas would enable a cost-effective and resilient model to replace the current situation in which each area employs one part-time Coroner. It would enable the Relevant Authority to implement a new model that best meets the needs of the newly merged area and to negotiate appropriate terms with the new Senior Coroner. The most cost-effective model, which maximises flexibility and resilience and enables succession planning is shown below:
 - 0.8 FTE Senior Coroner
 - 0.8 FTE Assistant Coroner (this post will be the designated deputy)

- Assistant Coroner days - as required (estimated need 15 – 20 days).
12. The above model ensures that the premium paid for a Senior Coroner, whose experience is needed for oversight of the system and to deal with the more complex cases, is not needlessly spent on the less complex cases and routine coroner work. This model enables the less complex cases to be dealt with by an Assistant Coroner and it also facilitates succession planning. There will be some occasions where additional cover is required and it is proposed that this is accommodated by using Assistant Coroners paid for at a daily rate.
 13. A merged area would provide better customer outcomes in terms of cost-effectiveness with the merged service estimated to deliver savings of 20%. The merged service would maintain performance at the level achieved by the Hartlepool Coroner's service and local access to the service for Hartlepool residents would also be maintained.
 14. The historically poor performance of the Teesside Coroner's area could cause concern to stakeholders particularly the residents of Hartlepool. However, the underlying causes of this poor performance were identified in 2013 and have been addressed. A new operating model was fully implemented from 1st May 2014; this has resulted in the average time to deal with new inquests taking 14 weeks. It should be noted that this performance has been achieved alongside dealing with the historic backlog of cases and once the backlog is resolved performance is predicted to match that achieved by Hartlepool Coroner's Service. The backlog of cases has been significantly reduced; it is predicted that all backlog cases will be completed by December 2014.
 15. The merger of the Teesside and Hartlepool Coroner areas will result in streamlined processes, enabling partners to operate more efficiently and effectively.
 16. Going forward there are likely to be significant changes in the level and type of demand placed on the Coroner's Service for example if a new hospital is built at Wynyard, or due to the requirement to employ medical examiners. A merged service would have more resilience to deal with these and other changes.

Consultation

17. The Lord Chancellor is responsible under the 2009 Act for formal consultation prior to making any order to merge coroner areas. However, informal consultation with stakeholders has been undertaken as part of the development of the business case; this included:
 - The Coroner Stakeholder Reference Group (SRG) met on 28 March 2014 and discussed the likely options of a merger of the Teesside and Hartlepool Coroner areas. There was support from all present for a merger (membership of the SRG) set out in appendix 2 of the business case).
 - Informal discussions with the three other Tees Valley Chief Executives.
 - Informal consultation with Cleveland Police, North Tees and James Cook Hospitals and the North East Ambulance Service.
 - Informal consultation with the Senior Coroner for Hartlepool.

- Informal consultation with the Acting Senior Coroner for Teesside.
18. Middlesbrough Council has also formally sought the views of key stakeholders on the business case, the list of key stakeholders and a summary of their responses is shown in Appendix 3 of the business case. Feedback from the consultation is summarised as follows:
- Hartlepool and Stockton have given an in-principle decision to support the merger and are in the process of agreeing the business case. Redcar and Cleveland Council has informally indicated support for the merger.
 - Stakeholder Reference Group members unanimously supported the merger at a meeting on 6th June 2014.
 - Cleveland Fire Brigade supports the merger as it will streamline processes.
 - The Acting Senior Coroner for Teesside Clare Bailey and the Senior Coroner for Hartlepool Malcolm Donnelly both support the business case.
19. The finalised business case will be formally considered by the other Tees Valley local authorities prior to submission to the Lord Chancellor. It is proposed that delegated authority is given to the Assistant Director – Organisation and Governance to make any inconsequential changes to the business case arising from this process.

Timescales update

20. The table below sets out a high level summary of the next key actions:

Action	Target date for completion
Middlesbrough Council Executive approval of the business case	12 th August 2014
Submission of the business case through the three local authority decision-making processes	29 th August 2014
Submission of the business case to the Lord Chancellor.	1 st September 2014
MoJ to consult with stakeholders and interested parties. (Stakeholders list normally includes police, hospitals, funeral directors and others affected by local coroners services but is not prescribed by legislation or guidance beyond organisations the Lord Chancellor thinks is appropriate to consult with) – 4 weeks	4 weeks consultation , 3 months to complete MoJ process
MoJ to consider the consultation and make a recommendation to the Lord Chancellor.	December 2014
If approved Lord Chancellor to lay down legislation for implementation.	December 2014
Council to undertake HR processes required to implement the Lord Chancellor's decision.	See comment below
<p>The next stages are dependent upon the outcome of the Lord Chancellor's decision:</p> <p>If a merger is proposed and the Senior Coroner for Hartlepool is 'slotted in' then the process is to seek approval from the Lord Chancellor and also the Chief Coroner (expected time to complete – 2 weeks). This is the proposal contained in the business case.</p>	

Action	Target date for completion
If a merger is proposed and the post is advertised to an open field then the process will take circa 3 months. If a merger is not proposed then the Teesside Coroner post will be advertised and the process will take circa 3 months.	

IMPACT ASSESSMENT (IA)

21. Not applicable as the decision on whether to merge the coroner areas is one that will be taken by the Lord Chancellor.

OPTION APPRAISAL/RISK ASSESSMENT

22. Not applicable. The Council is required to complete the business case for the service by the Lord Chancellor. The business case could propose that a merger does not occur but this would be contrary to the evidence which demonstrates a merger is the most effective way forward and it would be contrary to the views of stakeholders.

FINANCIAL, LEGAL AND WARD IMPLICATIONS

23. **Financial** – If the merger is agreed, there will be financial implications for the four local authorities. A merged service is expected to result in savings of 20%, which equates to a saving for Middlesbrough Council of circa £60,000.
24. **Ward Implications** – none.
25. **Legal Implications** – completion of the business case by the local authority is required by guidance that accompanies the Coroners and Justice Act 2009.

RECOMMENDATIONS

26. It is recommended that:
- the business case, which supports a merger of the Teesside and Hartlepool Coroner areas, is agreed
 - the recommended Coroner model for the proposed merged service is supported
 - Executive note that the final business case has been circulated to the other Tees Valley local authorities for consideration
 - Executive note that all key stakeholders support a merger of the Teesside and Hartlepool Coroner areas
 - the Assistant Director for Organisation and Governance is given the authority to make minor changes to the business case that may be required following formal consideration by the other Tees Valley local authorities
 - the final business case, which supports a merger, is approved for submission to the Lord Chancellor.

REASONS

27. Production of the business case has been requested by the Lord Chancellor. A merger will provide the best opportunity to deliver the business outcomes required and improve customer service. The merger is supported by key stakeholders.

BACKGROUND PAPERS

Chief Coroner's Guidance Note 14 – Merger of Coroner Areas

AUTHORS:

Karen Whitmore
Tel No: 01642 729557

Ann-Marie Johnstone
TEL NO: 01642 729080

APPENDIX A

**BUSINESS CASE FOR MERGING THE
TEESSIDE AND HARTLEPOOL
CORONER AREAS**

DATE: 12 August 2014

AUTHORS: Karen Whitmore / Ann-Marie Johnstone

**THE BUSINESS CASE FOR MERGING THE TEESSIDE
AND HARTLEPOOL CORONER AREAS**

CONTENTS

INTRODUCTION	9
ASSESSMENT CRITERIA	9
COMPLIANCE WITH THE CHIEF CORONERS GUIDANCE	10
IMPROVED OUTCOMES FOR CUSTOMERS	13
Timeliness of inquests	
Availability and accessibility of the service	
Cost effectiveness	
STREAMLINED PROCESSES FOR PARTNERS	16
RESPONSIVENESS TO FUTURE DEMAND	17
OVERALL CONCLUSION	18
APPENDIX 1 – Teesside and Hartlepool caseload statistics	19
APPENDIX 2 – Stakeholder Reference Group attendees	20
APPENDIX 3 – Key Stakeholders	21

INTRODUCTION

1. On 30th April 2014 the Senior Coroner for Teesside, Mr Michael Sheffield, retired. In line with the 2009 Coroners and Justice Act Middlesbrough Council informed the Lord Chancellor and the Chief Coroner of the vacancy.
2. The Lord Chancellor directed that Middlesbrough Council, in liaison with other relevant local authorities, should provide a business case that considers whether or not the Teesside and Hartlepool Coroner areas should merge.
3. Feedback from stakeholders and an assessment of the evidence identifies that the most appropriate way forward is a merger of the two coroner areas. This business case demonstrates the rationale for that conclusion.

ASSESSMENT CRITERIA

4. The evidence is assessed against the Chief Coroner's guidance on mergers and the key business outcomes required, which are:
 - improved outcomes for customers as measured by the:
 - timeliness of inquests
 - availability and accessibility of the service
 - cost effectiveness
 - streamlined processes for partners
 - responsiveness to future demand.

Compliance with the Chief Coroner's Guidance on mergers

5. The Chief Coroner's Guidance No 14 – 'Merger of coroner areas' makes reference to three main areas for consideration, these are:
- number of reported deaths and complexity of cases
 - removal of jurisdictions with one part-time Senior Coroner
 - the process to appoint a new Senior Coroner.

Number of reported deaths and complexity of cases

6. The Chief Coroner's Guidance No 14 – 'Merger of coroner areas' states:
- "The number of coroner areas should be reduced in order to create sensibly sized coroner areas, taking into account the numbers of reported deaths, geographical size and types of coroner work in the areas. In many cases 3,000 - 5,000 reported deaths would be an appropriate number, although smaller or larger areas may in places be appropriate. "
7. In 2013 the Teesside Coroner Service managed 2,635 reported deaths, while the Hartlepool Coroner Service managed 340 reported deaths, totalling 2,975. An analysis of previous years statistics indicates that this figure is fairly static, see Appendix 1. Based on the 2013 figures a merger would result in the number of reported deaths being closer to that deemed appropriate by the Lord Chancellor.
8. The Teesside Coroner's Service manages an above average number of more difficult, 'enhanced', cases. There are circa 25 enhanced inquests per year which equated to 6.5% of inquest cases that required a jury (compared to 1% nationally). This figure relates to the higher than average volume of industrial related deaths (the highest in the north east), a consequence of the heavy industrial employment prevalent within the region. In addition, the Teesside Coroner area has within its boundaries Her Majesty's Prison Holme House. Prison deaths that do not occur as a result of natural causes require an inquest with a jury. Holme House operates a palliative care unit within its health care provision. Terminally ill prisoners from within the region are transferred to Holme House for end of life care which also impacts on the number of enhanced cases.
9. The location of James Cook University Hospital within the Teesside area, which is a major trauma centre, increases the number of hospital death cases that are managed by the Teesside Coroner. A proportion of hospital deaths are cases that tend to be more complex.

Move away from part-time jurisdictions

10. The Chief Coroner's Guidance No 14 – 'Merger of coroner areas' states that there should be a move away from jurisdictions in which one Senior Coroner operates on a part-time basis. It also states that the Relevant Authority should consider the needs of the newly merged area, public interest and that terms can be agreed with the Coroner.
11. The merger of the Teesside and Hartlepool Coroner areas would enable a cost-effective and resilient model to replace the current situation in which each area

Appendix B

employs one part-time Coroner. It would enable the Relevant Authority to implement a new model that best meets the needs of the newly merged area and to negotiate appropriate terms with the new Senior Coroner.

12. The previous payment rates for coroners, based on the number of cases, could result in a perverse incentive in which it is more economically advantageous for there to be a high number of reported deaths and a high number of enhanced cases. A different model regarding payments is proposed for the new coroner's area; a fixed salary which is not linked to: the number of cases, the complexity of those cases or any specific geographical consideration.
13. A number of different models could deliver the required Coroner cover. Consideration was given to the model of one full-time Senior Coroner supported by three or four Assistant Coroners paid on a daily rate. This model was discounted because it would result in an inefficient use of resources based on the differing levels of complexity within the workload and offers little in the way of resilience and succession planning. This was effectively the model in operation when performance was poor consequently there is a risk that this model will not meet the business needs of the new area nor delivers the required customer outcomes.
14. The model that best meets the needs of the new area, maximises flexibility and resilience and enables succession planning thus being the model most likely to deliver the required customer outcomes is shown below:
 - Senior Coroner 0.8 FTE
 - Assistant Coroner 0.8 FTE
 - 15(+) days ad hoc Assistant Coroner
15. The proposed model is based on an assessment of the expected number and complexity of cases in the new area alongside the expected impact of the new operating model.
16. The proposed model ensures that the premium paid for a Senior Coroner, whose experience is needed for oversight of the system and to deal with the more complex cases, is not needlessly spent on the less complex cases and routine coroner work that does not require this level of expertise. This model enables the less complex cases to be dealt with by an Assistant Coroner and facilitates succession planning. It also removes a possible perverse financial incentive which could occur in a model based largely on a daily rate of pay.
17. The Chief Coroner's Guidance on mergers states that no Assistant Coroner should lose their office as a result solely of the merger. It also states that the Relevant Authority should consider the needs of the newly merged area and public interest. The Guidance recognises that there may be a change to the type and level of support required.
18. The Teesside Coroner's Service currently has four Assistant Coroners all four will retain their office within the new coroner area. One Assistant Coroner will undertake the 0.8 FTE role. The other three Assistant Coroners will be asked to provide ad hoc cover when required.
19. The new operating model will result in a reduced case load and therefore it is expected that comparatively few ad hoc Assistant Coroner days are required current estimates

are between 15 – 20 days. The Chief Coroner has stated that Assistant Coroners should have a minimum of 15 days' work per year to keep their skills up-to-date; it may not be possible to accommodate this for all three Assistant Coroners. This estimate will be reviewed once the new operating model is embedded. The Senior Coroner will allocate cases based on the needs of the service, the skills and availability of the Assistant Coroners and their ability to work within the new operating model.

20. The above model represents the most flexible and resilient way forward; it provides the best opportunity of delivering the customer outcomes required and of meeting the needs of the new area. It also represents a saving of circa £35,000 on the 2013/14 combined Teesside and Hartlepool Coroner costs.

Appointment of a Senior Coroner

21. The Chief Coroner's guidance on mergers states that the Relevant Authority can appoint a Senior Coroner in one of two ways:

"Option 1 – The Relevant Authority may appoint one of the Senior Coroners from the old areas. Option 2 – Alternatively the Relevant Authority may appoint a Senior Coroner following an open competition..... Relevant Authorities are advised that Option 1 should usually be the preferred option."

22. The Guidance from the Chief Coroner also states that, where possible, the Relevant Authority should state in advance its proposals for recruiting to the Senior Coroner position.
23. The Teesside and Hartlepool Coroner areas are fortunate to have a very experienced Senior Coroner, Mr Donnelly, who has a track record of excellent performance. The Hartlepool Coroner's Service is one of the best performing in the country. Mr Donnelly has also demonstrated, through his role as Assistant Coroner for Teesside, that he is able to work efficiently and effectively within the new model. It is clear that the needs of the new area can be met via the 'slot-in' of Mr Donnelly. Therefore, it is proposed to offer the 0.8 FTE Senior Coroner post to the Senior Coroner from Hartlepool, subject to the Relevant Authority and the Senior Coroner from Hartlepool being able to agree terms.
24. The Chief Coroner's guidance states that where a local authority chooses Option 2 and a sitting Senior Coroner does not get the role then the sitting Senior Coroner should be offered an Area Coroner role or should be compensated for loss of office. In the unlikely event of this option being considered the proposed model provides scope to offer the sitting Coroner an Area Coroner role. If this scenario arose the 0.8FTE Assistant Coroner role would be re-designated as an Area Coroner.

Conclusion - Compliance with the Chief Coroner's Guidance

25. Merging the Teesside and Hartlepool Coroner areas is in accordance with the Chief Coroner's Guidance. A decision not to merge would result in this guidance not being met. Offering the 0.8 FTE Senior Coroner post to the Senior Coroner from Hartlepool complies with the guidance. It also adheres to the statement in the Guidance that the Senior Coroner role in the new area should usually be offered to the Senior Coroner currently in post.

Improved outcomes - for customers**Timeliness of inquests**

26. The Teesside Coroner's Service has been underperforming for over ten years and has been the subject of complaints from the public, local politicians and Members of Parliament. This underperformance is demonstrated in the table below which sets out the average time taken to conclude an inquest by north east Coroner areas for 2011, 2012 and 2013. In 2013 performance by the Teesside Coroner's Service was the poorest in the north east and the worst in the country whilst Hartlepool's service was the best in the north east and amongst the best nationally.

Table 1 – Average time (in weeks) taken for inquests (year ending 31st December)				
	2011	2012	2013	Est. 2014
Teesside	44	48	50	14*
North Northumberland	34	29	24	
Newcastle upon Tyne	25	22	31	
Darlington and South Durham	26	20	24	
North Durham	32	21	-	
Gateshead and South Tyneside	21	21	19	
South Northumberland	20	17	22	
Sunderland	19	16	14	
North Tyneside	16	14	18	
Hartlepool	14	12	11	11

* NB – In nationally reported figures 2014 performance is likely to be circa 30 weeks, this is because it will include the backlog of 404 standard cases and 30 enhanced cases most of which were over 2 years old. The 14 weeks relates to the performance of cases since July 2013 excluding backlog cases. Performance figures for other areas in 2014 will not be known until publication of official figures in 2015.

27. The historically poor performance of the Teesside Coroner's area could rightly cause concern to stakeholders particularly the residents of Hartlepool. However, the underlying causes of this poor performance were identified in 2013 and have been addressed. A new operating model was partially implemented in 2013 and fully implemented from 1st May 2014; this has resulted in the average time to deal with new inquests taking 14 weeks. It should be noted that this performance has been achieved alongside dealing with the historic backlog of cases and once the backlog is resolved performance is predicted to match that achieved by the Hartlepool Coroner's Service.
28. The legacy of the previous under-performance is that there is a backlog of old cases (those prior to 25th July 2013). However, this has been reduced from a peak of 404 in October 2013, to circa 50 with all expected to have been completed by December 2014. A new backlog (post 25th July 2013) began to build and by mid February 2014 had reached 150, this backlog has now been reduced to circa 50 cases and all are expected to be completed by December 2014. There is also a backlog of enhanced inquests cases which stood at 30 in February 2014, these have now all been reviewed and listed for hearing and will be completed by September 2014.
29. Consequently, if the Lord Chancellor proposes a new merged Coroner's area it would come into being after the backlog of cases has been resolved. This alongside the average performance time of 14 weeks to conclude new inquests demonstrates that the historic issues have been adequately addressed and will not impact on a new merged Coroner's Service.

30. A merged Coroner's Service with standard processes for coroner's officers to work to will facilitate further improvements to performance.

Availability and accessibility of the service

31. Currently services are delivered from a number of locations in both areas. It is anticipated that these arrangements will be maintained to ensure there is no impact on service access. The more resilient Coroner model will improve the availability of the service.

Cost-effectiveness of the service

32. The total annual cost of the Teesside Coroner's Service in 2013/14 was £962,488. The total cost of the Hartlepool Coroner's Service for 2013/14 was £182,000. The two costs combined being £1,144,488.
33. The cost to each of the three local authorities for the Teesside Coroner's Service is based on population and is shown in the table below.

	Budget contribution	Population¹	Cost
Middlesbrough	29.74%	138,744	£286,244
Redcar and Cleveland	29.05%	134,998	£279,603
Stockton	41.21%	192,406	£396,641
Total	100%		962,488

34. Two cost scenarios are outlined below, the first assumes no savings are made from the merged service; the second assumes savings of 20%.

Scenario 1 – No Savings assumed	Budget contribution	Population²	Cost	Difference
Middlesbrough	24.89%	138,744	£284,863	-£1,351
Redcar and Cleveland	24.22%	134,998	£277,195	-£2,408
Stockton	34.52%	192,406	£395,077	-£1,564
Hartlepool	16.36%	91,220	£187,238	+ £5,238
TOTAL	100%		£1,144,488	

Rationale for expected savings of 20%

35. The 2013/14 Teesside Coroner's Service costs were incurred when the previous inefficient model was operating. The costs for 2014/15 are likely to show a small increase on the 2013/14 figures as they include the costs associated with implementing the new model and in dealing with the significant backlog of cases, these costs will be largely offset by the efficiency of the new operating model. By 2015/16 the backlog of cases will have been resolved and the new, more efficient model will have been embedded. Consequently, a saving of 20% on the 2013/14

¹ Source: Mid 2012 ONS estimates

² Source: Mid 2012 ONS estimates

baseline is predicted based on known savings and the impact of the new model as follows:

- Reduction in Coroner payments arising from the new model £35,000
- Reduction in administration costs arising from merger £16,000
- Efficiencies arising from the implementation of the new model due to fewer post-mortems and fewer witnesses being called £175,000.
- Efficiencies arising from the procurement of undertakers circa £5,000.

36. The impact on the costs to each authority if a 20% reduction in costs is achieved is shown in the table below.

ESTIMATED - saving in 2015/16 (if merger occurs)	Budget contribution	Population	Cost	Difference
Middlesbrough	24.89%	138,744	£227,890	‑£58,354
Redcar and Cleveland	24.22%	134,998	£221,756	‑£57,847
Stockton	34.52%	192,406	£316,062	‑£80,580
Hartlepool	16.36%	91,220	£149,790	‑£32,210
Total			£915,498	‑£228,991

Improved outcomes for customers – conclusion

37. The merger of the two areas would result in improved outcomes in terms of cost effectiveness, while the quality, availability and accessibility of the service will be maintained or improved.

Streamlined processes for partners

38. It is unclear why the anomalous situation of two small Coroner areas within the former Cleveland Council area has occurred. A key partner in Coroner services, Cleveland Police, has a boundary that encompasses all four local authority areas. One police administrative team is in place to provide support for both the Teesside and Hartlepool Coroner areas. However, they have had to operate two separate processes which, is inefficient and could lead to confusion.
39. Other key strategic partners, which operate across the Hartlepool and Teesside Coroner areas, include:
 - Cleveland Fire Brigade
 - North Tees and Hartlepool NHS Foundation Trust
 - North East Ambulance Service
 - Tees Health Commissioning Group
 - Tees, Esk and Wear Valley NHS Trust
 - Air Ambulance Service
40. The two Coroner areas operate two different reporting systems, requiring organisations that sit in both areas to report deaths differently. In addition, there is currently a duplication of effort at a strategic level for example, when undertaking emergency planning work, the local authority emergency planning team has to engage with both Coroner areas and ensure resulting plans are cognisant of each other. Merging the two Coroner areas would enable these agencies to streamline their processes and achieve efficiencies.
41. Informal feedback was sought from stakeholders prior to drafting the Business Case and this identified unanimous support for a merger. The views of stakeholders on a merger were also formally sought. Key stakeholders are in support of a merger, Appendix 3 provides a summary of all responses received. Examples of support are provided below:
42. 'Hartlepool Borough Council would support a merger of the Teesside and Hartlepool Coroner areas. With the closure of our local A & E department some years ago the number of reported deaths has reduced by almost half. While this has led to a reduction in the number of inquests, the costs of administration have increased, as we are still required to provide the same facilities for people to access the service even though fewer deaths are reported.' – Chief Executive, Hartlepool Council.
43. 'Cleveland Fire Brigade would support a merger of the Teesside and Hartlepool Coroner areas. A merger would offer the benefit of a consistent approach for partners in applications on court proceedings, and therefore I have no concerns regarding this proposal.' – Cleveland Fire Service, Chief Fire Officer.
44. 'Given the results of the initial assessment and the strong corroborating evidence, I would support a merger of the two coroner areas. It appears to be an eminently sensible decision which would have discernable benefits for the families and friends of the bereaved across our region.' – Andy McDonald, MP for Middlesbrough.

Streamlined processes for organisations – Conclusion

45. The merger of the Teesside and Hartlepool Coroner areas would result in streamlined processes, enable partners to operate more efficiently and effectively and is supported by key partners.

Responsiveness to future demand

46. Going forward there are likely to be significant changes in the level and type of demand placed on the Coroner's Service. These changes include:
- The new model, based on the Coroner's and Justice Act 2009, implemented by the Teesside Coroner's Service will result in fewer reported deaths and subsequent investigations.
 - There are plans to close North Tees and Hartlepool hospitals and relocate on one site at Wynyard. Should this occur, it would skew the current split of caseloads between the two areas with approximately a third of the current Teesside caseload moving across to the Hartlepool Coroner area. The total number of deaths in the Hartlepool area would still be significantly below the lower threshold for a Coroner area. Without the merger the local authority in Hartlepool would need to build capacity in order to effectively manage this increase in workload. With a merger the effect of this transfer of workload would not have a material impact on the operation of the service.
 - The 2009 Coroner's and Justice Act introduced a requirement for medical examiners and will require local authorities to appoint medical examiners and support officers to meet the new duties that will come into force at a future, as yet unknown, date. A pilot study undertaken by the Department of Health indicates that an area with 5,000 deaths would require seven part-time medical examiners (equivalent to two – three full-time posts) supported by three full-time medical examiner officers. It will be more efficient and cost-effective to meet this demand in a merged service.
47. The Coroner model outlined earlier in this business case provides a more robust and resilient structure which enables succession planning and is better placed to meet any future demands on the service.

Responsiveness to future demand – conclusion

48. It is clear that merging the two areas would ensure that there was minimal disruption to services should the new hospital at Wynyard be built. A merged service would also be better placed to implement medical examiner reforms and put in place a more resilient coroner structure. A merger would result in the new service being in a better position to meet future demands.

Overall Conclusion

The evidence available has been assessed against the needs of the new area, the required customer outcomes and the Chief Coroner's Guidance. This business case clearly demonstrates that:

- merging the Teesside and Hartlepool Coroner areas is in accordance with the Chief Coroner's Guidance
- the proposed operating model complies with the guidance issued and adheres to the advice that the Senior Coroner role in the new area should usually be offered to the Senior Coroner currently in post. The new operating model provides a more flexible and resilient model than could be achieved if the two areas did not merge
- the merger of the two areas will result in improved customer outcomes in terms of cost- effectiveness, while the quality, availability and accessibility of the service will be maintained or improved
- the merger will enable a number of agencies that operate across the two areas to streamline processes, enabling partners to operate more efficiently and effectively
- a merger will provide a Coroner's Service that is more resilient to future changes.

This Business Case has clearly demonstrated that a merger of the Teesside and Hartlepool Coroner areas represents the best way forward. It provides the best opportunity to meet the required customer outcomes and the needs of the new area. It will provide a more effective and efficient service to the residents of Teesside and Hartlepool. A merger of the Teesside and Hartlepool Coroner areas is supported by key stakeholders.

Appendix 1

Caseload Statistics

	Teesside				
	Total deaths reported (inc NFA)	Inquests	Post mortems	% Inquests	% Post mortems
2002	2,415	274	1,108	11	46
2003	2,396	273	1,249	11	52
2004	2,526	370	1,220	15	48
2005	2,313	348	1,101	15	48
2006	2,566	345	1,121	13	44
2007	2,559	313	1,101	12	43
2008	2,731	349	1,065	13	39
2009	2,618	307	1,024	12	39
2010	2,566	315	1,002	12	39
2011	2,659	292	968	11	36
2012	2,635	350	969	13	37
	Hartlepool				
	Total deaths reported (inc NFA)	Inquests	Post mortems	% Inquests	% Post mortems
2002	560	82	235	15	42
2003	650	59	275	9	42
2004	595	49	261	8	44
2005	644	71	307	11	48
2006	619	73	326	12	53
2007	590	58	284	10	48
2008	472	50	176	11	37
2009	492	50	240	10	49
2010	434	78	213	18	49
2011	387	46	156	12	40
2012	336	36	146	11	43

Source: Ministry of Justice Coroner Statistics - <https://www.gov.uk/government/news/new-coroners-data-tool-launched>

Appendix 2

Stakeholder Reference Group – Attendees

Name & Title	Organisation
Ian Swales MP - Chair of SRG Meeting	Member of Parliament for Redcar
Jacqui Cheer - Chief Constable	Cleveland Police
Clare Bailey - Acting Senior Coroner Teesside	HM Coroner Service Teesside
Karen Whitmore - Assistant Chief Executive	Middlesbrough Borough Council
Jennifer Olver	North Tees University Hospital
Sharron Williams	North Tees University Hospital
Professor Wilson - Medical Director	James Cook University Hospital
Barbara Carr - Assistant Director of Nursing	North Tees University Hospital
Julia Hutchinson - Head of Legal Services	James Cook University Hospital
Julie Walker - Pathologist	James Cook University Hospital
Grahame Pickering - Chief Executive	Great North Air Ambulance
Alan Gallagher - Head of Risk and Claims	North East Ambulance Service
David Sutherland - Chief Inspector	Cleveland Police
Brian Thomas – Senior Manager	Cleveland Police
David Emerton - Medical Director	North Tees University Hospital
Barry Coppinger - Police & Crime Commissioner	Cleveland Police

Teesside and Hartlepool Coroner Services – List of Key Stakeholders whose views on the business case have been formally sought

Name & Title	Organisation	Support for Merger?	Comments summary	Response if applicable
Ian Swales MP	Redcar MP	No Response		
Tom Blenkinsopp MP	Middlesbrough south and east Cleveland MP	No Response		
Andy McDonald MP	Middlesbrough MP	Yes	'Given the results of the initial assessment and the strong corroborating evidence, I would support a merger of the two coroner areas. It appears to be an eminently sensible decision which would have discernable benefits for the families and friends of the bereaved across our region.'	n/a
Alex Cunningham MP	Stockton (North) MP	Yes	'I am pleased to offer my support to the proposal to do so. I believe that it does offer the best opportunity to fulfil the key business outcomes subject to quality leadership and the necessary resources being made available to ensure people across the Teesside area never again suffer the poor service delivered by the previous coroner.'	n/a
James Wharton MP	Stockton (South) MP	No Response		
Iain Wright MP	Hartlepool MP	No Response		
Jacqui Cheer Chief Constable	Cleveland Police	No Response		
Grahame Pickering Chief Executive	Great North Air Ambulance	No Response		
Barry Coppinger Police & Crime Commissioner	Cleveland Police	No Response		

Name & Title	Organisation	Support for Merger?	Comments summary	Response if applicable
Amanda Skelton Chief Executive	Redcar & Cleveland Borough Council	No Response		
Mike Robinson Chief Executive	Middlesbrough Council	Yes	Supports the business case – in principle Executive Decision to support the merger taken in July 2014 final decision due 12 th August 2014.	n/a
Dave Stubbs	Hartlepool Borough Council		<p>'Hartlepool Borough Council would support a merger of the Teesside and Hartlepool coroner areas. With the closure of our local A & E department some years ago the number of reported deaths has reduced by almost half. While this has led to a reduction in the number of inquests, the costs of administration have increased, as we are still required to provide the same facilities for people to access the service even though fewer deaths are reported.</p> <p>A new hospital is proposed at Wynyard, within HBC's boundaries. This would substantially increase the number of reported deaths, and our existing infrastructure will find this difficult to sustain without a substantial increase in expenditure, and change of the service model. We can ill afford this on our own, and we would look to assistance from other coroner areas affected. This of itself would, in our view, justify a merger of coroner areas...The only concern might relate to the continued availability of services within Hartlepool...We would like if possible, the name to reflect Hartlepool as being included in the service, although I understand this is up to the Lord Chancellor.</p>	<p>The business case proposes that services continue to be provided in Hartlepool at their current level.</p> <p>Comments regarding the possible name of the new service will be forwarded to the Lord Chancellor</p>
Neil Schneider Chief Executive	Stockton Borough Council	Yes	Cabinet on 17 th July 2014 agreed to support Middlesbrough's proposed course of action.	N/A
Mr David Emerton, Medical Director	North Tees Hospital	Yes	The Trust Director's Group meeting discussed the merger of the Teesside and Hartlepool	The business case supports the continuation of inquests held in Hartlepool.

Name & Title	Organisation	Support for Merger?	Comments summary	Response if applicable
North Tees			Coroner areas on 18 th July 2014. There was unanimous agreement to support the proposed merger of the Hartlepool and Teesside coroner jurisdictions. It was also felt that it would be helpful for families who live in Hartlepool if inquests could be heard in Hartlepool when their relatives have died at North Tees.	
Prof Rob Wilson, Medical Director South Tees	James Cook University Hospital	-	Response expected after a trust board meeting on 22 July 2014	
Yvonne Ormston Chief Executive	North East Ambulance Service	No Response		
Ian Hayton Chief Fire Officer	Cleveland Fire Brigade	Yes	'Cleveland Fire Brigade would support a merger of the Teesside and Hartlepool Coroner areas. A merger would offer the benefit of a consistent approach for partners in applications on court proceedings, and therefore I have no concerns regarding this proposal.'	n/a
Clare Bailey Acting Senior Coroner - Teesside	HM Coroner Service Teesside	Yes	'I can confirm that I am in agreement with the proposed merger of the Teesside and Hartlepool Coroner areas. I am also in agreement with the proposed working model which would consist of a 0.8 FTE Senior Coroner and 0.8 FTE Assistant Coroner. I think the Assistant Coroner should also be appointed as the Deputy Coroner also.'	Agreed - Business case revised to rename the 0.8FTE Assistant Coroner as Deputy Coroner.
Malcolm Donnelly Hartlepool Senior Coroner / Teesside Assistant Coroner	HM Coroner Service Hartlepool	Yes	Mr Donnelly has expressed 'general approval of the plan'.	n/a
Ms J Wharton Assistant Coroner	HM Coroner Service Teesside	Yes	'I think this all sits well with the proposed Coroner model.'	n/a

Name & Title	Organisation	Support for Merger?	Comments summary	Response if applicable
Mr S J Faulks Assistant Coroner	HM Coroner Service Teesside	Yes	Support for a merger, support for model of 0.8 FTE Senior Coroner and 0.8 FTE Assistant Coroner. Concerned that the 15+ days ad hoc Assistant Coroner time would result in the loss of 2 of the 3 Assistant Coroners and that the Chief Coroner's guidance states that Assistant Coroners will not lose their office as a result of a merger.	All Assistant Coroners will retain their office. However there will be a reduction in ad hoc Assistant Coroner days available. The Chief Coroner's guidance states that the Relevant Authority should consider the needs of the new area and public interest. The guidance acknowledges that the type and availability of work may change. The Senior Coroner is responsible for allocating work to Assistant Coroners and does so in line with service needs and the availability and skills of the Assistant Coroners.
Mr A G Eastwood Assistant Coroner	HM Coroner Service Teesside	Yes	<p>Support for the business case recommending a merger but expresses the view that option 2 (open competition for the post of Senior Coroner should be chosen). This view is based on the Chief Coroner's Guidance Note 6.</p> <p>Supports a model, discounted in the business case, of one Senior Coroner supported by a team of Assistant Coroners paid on a daily rate. i.e.</p> <p>1 x full time Senior Coroner 4 x ad hoc Assistant Coroners – daily rate</p> <p>Rather than model proposed in the Business case:</p> <p>1 x Senior Coroner 0.8 FTE 1 x Assistant Coroner 0.8 FTE 15 – 20 ad hoc Assistant Coroner days – daily rate</p>	<p>The Chief Coroner's Guidance Note 6 relates to general recruitment to Senior Coroner posts. More recent guidance (note 14) specifically relates to mergers and is the guidance note that the Chief Coroner's Office and the Lord Chancellors Office directed MBC to. Guidance Note 14 clearly states that 'slotting in' the existing Senior Coroner should be the preferred option.</p> <p>The existing sitting Senior Coroner is very experienced, runs a high-performing Coroner area (Hartlepool), has undertaken significant work to clear the backlog of cases at Teesside and understands and supports the new business model; consequently a 'slot in' will meet the desired business outcomes and the needs of the new Coroner area.</p> <p>The alternative Coroner model with one Senior Coroner supported by a team of 4 Assistant Coroners was the model in operation throughout the period when performance was poor. It proved</p>

Name & Title	Organisation	Support for Merger?	Comments summary	Response if applicable
				<p>to be an inefficient use of resources and could lead to perverse financial incentives. It contributed to the unacceptably long average times for inquests (50 weeks in 2013) and the backlog of cases partly because it relied on 'ad hoc' support rather than a dedicated role.</p> <p>The current temporary arrangements which are similar to the final model proposed have already demonstrated the effectiveness of the proposed model. With the backlog of cases significantly reduced alongside an average time for inquests of 14 weeks for new cases.</p>

FINANCE AND POLICY COMMITTEE

18th August 2014



Report of: Assistant Chief Executive and Assistant Director
(Neighbourhoods)

Subject: DRIVING AT WORK POLICY AND DRIVER
HANDBOOK AND CYCLE POLICY

1. TYPE OF DECISION/APPLICABLE CATEGORY

Non-Key Decision

2. PURPOSE OF REPORT

- 2.1 To seek the committees support in the adoption of a Driving at Work Policy and Driver Handbook and a Cycle Policy.

3. BACKGROUND

- 3.1 Regionally it is estimated that 1 in 4 road traffic collisions occur as a result of a work related journey with the vast majority occurring as a result of human error. Therefore, on the basis that all collisions are preventable, having a robust and effective policy covering all driving activities, including a Council supplied vehicle, or a vehicle supplied by the employee, will reduce the impact that collisions have on the Council.
- 3.2 Every employee, without exception, has responsibility for health and safety. They are responsible for observing and following all relevant legislation and the Council's own Health and Safety Policy. This also applies to all staff driving or riding on Council business.
- 3.3 The practice of safer driving and implementation of the Driving at Work Policy and Driver Handbook and a Cycle Policy, is essential to maintain our drivers'/riders ability to perform their roles, efficiently and within the law, to reduce the risk of a collision and to protect the Council from litigation should a blameworthy collision occur.

4. DRIVING AT WORK POLICY AND HANDBOOK AND CYCLE POLICY

- 4.1 To improve the safety of drivers and cyclists whilst on Council business a Driving at Work Policy and Driver Handbook (Appendix 1) and a Cycle Policy (Appendix 2) have been developed which will apply to elected members and employees. The Driving at Work Policy and Driver Handbook applies to car drivers and motorcyclists.
- 4.2 The key elements of the Driving at Work Policy and Driver Handbook include
- Clarification of responsibilities
 - Driver intervention training based on risk assessment
 - Escalating driver intervention training for employees who accumulate penalty points
 - Incorporation of requirement to regularly produce driver documents (driving licence, insurance documents, MOT certificates, driver log book) for recording purposes
 - Provision of good advice in relation to driving practices and security
 - Minimum protective and other clothing requirements for motorcyclists
- 4.3 The key elements of the Cycle Policy include
- Minimum protective and other clothing requirements for cyclists
 - Provision of good advice in relation to safer riding practices and security
- 4.4 The policies have been provisionally agreed with the trade unions at the Single Table meeting and Finance and Policy Committee ratification of the provisional agreement is sought.

5. RECOMMENDATIONS

- 5.1 That the Committee ratifies the provisional agreement with the trade unions in respect of the Driving at Work Policy and Driver Handbook and Cycle Policy.

6. REASONS FOR RECOMMENDATIONS

- 6.1 To improve the safety of drivers and cyclists whilst on Council business.

7. BACKGROUND PAPERS

None

8. CONTACT OFFICERS

Andrew Atkin
Assistant Chief Executive
Email: Andrew.atkin@hartlepool.gov.uk
Tel: 01429 523003

Alastair Smith
Assistant Director (Neighbourhoods)
01429 523802
Alastair.smith@hartlepool.gov.uk

Paul Watson
Road Safety Team Leader
01429 523590
Paul.watson@hartlepool.gov.uk

HARTLEPOOL BOROUGH COUNCIL

Driving at Work Policy and Driver Handbook



Implementation date
Review Date

Policy Statement – All Staff / Members Driving Vehicles on Council Business

Hartlepool Borough Council is committed to the delivery of its obligations under Health and Safety and Road Traffic Legislation with regard to driving at work, and recognises that there are specific risks to employees who are driving on behalf of the Council. In addition we have a corporate social responsibility and duty of care to our staff and all other road users to reduce risk and promote health and safety.

The Council has introduced this policy with the objective of identifying and minimising those risks and encouraging safe driving in order to reduce the number of reported incidents and accidents to comply with its legal obligations.

The overall purpose of the Driving at Work Policy and Driver Handbook is to provide advice and guidance on Council rules related to driving and to ensure that all employees are aware of the health and safety implications of using a Council supplied vehicle or a vehicle provided by an employee for use on official Council business.

Hartlepool Borough Council places great importance on the health and safety of its employees, as well as members of the public and other road users and we must rely on every employee to maintain a responsible attitude to the welfare of others.

Every employee, without exception, has responsibilities for health and safety. They are responsible for observing and following any relevant legal requirements and the Hartlepool Borough Council Health & Safety Policy. In particular they should take care for the health and safety of themselves and of other persons who may be affected by their acts or omissions at work; observe systems of safe working and take any precautions necessary to ensure the safety of themselves and others affected by their work

The practice of safe driving is essential to maintain all our drivers' ability to perform their jobs effectively, efficiently and within the law. The Council strives to achieve the highest standards in all areas of health and safety and all drivers are relied upon to observe all the basic rules of the road when driving.

It is estimated that approximately 1 in 4 collisions are as a result of a work related journey with the vast majority as a result of human error. Therefore, on the basis that all accidents are preventable, all Council drivers and staff driving on Council business, are required to operate their vehicles, at all times, in a safe, responsible and considerate manner, with due regard to the safety of themselves and others, the objective being to minimise the risk of an accident.

The Council's fleet is a valuable asset to run and maintain and there is a basic requirement that all vehicles must be maintained in a legal and road worthy condition at all times. Every driver of a Council vehicle should appreciate that any damage or misuse can result in a significant drain on the Council's finances and ultimately the tax payers of the town so should take care of the vehicle. All drivers including those employees who supply their own vehicle are required to read this document and become familiar with the various sections.

Notes:

You are asked to read and agree to the provisions and requirements of this policy as a condition of driving any vehicle on Council business. You are also required to sign and return the declaration page and to confirm that you have read and understood this policy and handbook and whilst at work will drive in accordance with the policy and handbook at all times.

The sections on accidents, motoring offences and fines, health and safety and insurance, apply to **ALL** drivers of **ALL** vehicles driven on Council business

Definitions**Hartlepool Borough Council defines:**

- a. Driving whilst at Work** – is travelling from your base (or other work premises) for the purposes of undertaking Council duties, this does not include any commuter travelling from your home to your base unless your home is designated as your work base. Driving whilst at work also includes driving a vehicle on Council owned premises.
- b. Vehicle** – includes any type of motorised transport including motorcycles, quad-bikes and ride on equipment either provided by Hartlepool Borough Council or by an employee for official Council business. This includes all vehicles taken home, with permission, during the course of an employees duties e.g. when on standby/call out etc.

Responsibilities**a. Chief Executive shall**

- i. have overall responsibility for ensuring compliance with current Health and Safety Legislation.
- ii. ensure that policies are reviewed annually and initiate changes to comply with any changing legislation.
- iii. ensure that adequate resources are made available to implement policies and procedures and carry out amendments to this policy when required.

b. Directors shall

- i. ensure the effective communication and implementation to Managers and Employees.

c. Assistant Director (Neighbourhoods) or nominated representative shall

- i. ensure that document checks are monitored and audited when required.
- ii. obtain authority from employees to verify driving licences with DVLA if required.
- iii. offer advice in respect of Road Traffic Law and compliance.
- iv. assist in the investigation of accidents and incidents in partnership with managers where required.
- v. identify and implement driver training courses where required.
- vi. ensure that drivers documents are securely recorded on the Resourcelink Database (any hard copies of these will be destroyed in accordance with data protection guidelines)
- vii. issue instructions to employees in respect of Council vehicles and plant, as appropriate

d. Managers shall

- i. ensure that staff members receive appropriate help and advice to ensure safety is maintained at all times.
- ii. ensure that staff comply with all Health and Safety policies.
- iii. be involved with the monitoring, reporting and investigation of any work related incident involving a staff member when driving whilst at work.

e. Fleet Manager shall

- i. ensure that all Council fleet vehicles are maintained and serviced to agreed timescales and are mechanically sound and roadworthy at all times.
- ii. have the primary responsibility for ensuring the maintenance of the Council' fleet and to maintain accurate vehicle records in accordance with the Councils Operator Licence (O Licence).

This will include:

- maintenance of the Council's O licence and ensuring the Council is advised of any concerns which may affect the status of the O licence.
- vehicle handovers to new employees.
- ordering and tracking of new and returned Council vehicles.
- the issuing of new tax discs for Council vehicles.
- rental invoices.
- fuel card issues and payments.
- the issuing of insurance documents.
- arranging for the collection of vehicles by Leasing Company.
- liaising with the Health, Safety and Wellbeing Team/Insurance Section regarding incident/accidents, training requirements and any other concerns regarding vehicle operations.
- recording of service intervals.

f. Employees shall

- i. familiarise themselves with the content of this policy.
- ii. ensure that any privately owned vehicle used on Council business is taxed, has a valid MOT Certificate if required and is roadworthy at all times.
- iii. ensure their Insurance Policy includes a business insurance entitlement and that they are named on the policy for each privately owned vehicle being used on Council business.
- iv. present their Driving Licence and the V5 document for each privately owned vehicle used on Council business for inspection and recording when requested
- v. present their Certificate of Motor Insurance (employees MUST have the appropriate business insurance cover for driving on Council business, including being a named driver on the policy covering the vehicle being driven) and MOT Certificate (if the vehicle is over 3 years old) annually for inspection and recording for each privately owned vehicle used on Council business.
- vi. ensure that they are fit to drive at all times whilst at work (including travelling to and from work) and report any medical conditions and/or medication they are taking that may impact upon their driving to their line manager
- vii. report any accidents and incidents at work in accordance with the appropriate procedures
- viii. report any driving related fixed penalty notices, notices of intended prosecutions, summons, endorsements, penalty points and convictions for any motoring offence inside and outside of work to their Line Manager as soon as possible following the issue arising. In respect a driver being issued with a parking ticket driving Council supplied vehicles, they must inform the Fleet Manager after issue.
- ix. report all faults on Council provided vehicles and plant promptly in accordance with the appropriate procedures.
- x. cooperate with monitoring, reporting and investigation procedures in the event of an accident or incident.

- xi. ensure that they have a valid driving licence for any vehicle they drive on the highway and have either a valid driving licence or have been assessed by the Council as competent to drive any vehicle off the highway
- xii. wear any glasses, contact lenses or other vision corrective measures prescribed for driving
- xiii. ensure that appropriate seatbelts, child seats, booster cushions and restraints are used by all passengers in the vehicle except where passengers have a valid exemption certificate
- xiv. comply with all one way systems, speed limits and other road safety measures on and off the highway
- xv. ensure that hand held devices (e.g. mobile/smart phones, two way radios etc) are not used when driving
- xvi. give authority to the Assistant Director (Neighbourhoods) to check their driving licence details with DVLA
- xvii. undertake a 'drivers' eye and eye sight test as required by the Council or School.
- xviii. undertake, as required, driver assessment and training and comply with other appropriate driver interventions determined in accordance with this policy and handbook.
- xix. ensure that no passengers travel in any Council provided vehicle or plant at any time other than where this is for work related reasons
- xx. ensure that no personal use of the vehicle occurs other than authorised travel between work and home
- xxi. undertake a daily check of any Council provided vehicle or plant
- xxii. comply with any instructions issued by the Assistant Director (Neighbourhoods) in respect of Council vehicles and plant and by the relevant head teacher in respect of school vehicles and plant
- xxiii. notify their supervisor or line manager if they are absent from work and have taken their Council provided vehicle home and co-operate with arrangements made to recover the vehicle
- xxiv. sign a declaration that they have read and understood this policy and handbook and whilst at work will drive in accordance with the policy and handbook at all times
- xxv. wear a motor cycle helmet to an appropriate B.S. standard and appropriate personal protective clothing if riding a motor cycle on official business (see later for further details)

g. Health, Safety and Wellbeing Manager shall

- i. monitor the overall implementation and application of the policy and take appropriate action where required. This will include escalation to the relevant manager as appropriate.
- ii. work in conjunction with Council Officers to review policies.
- iii. undertake investigations into work related accidents and incidents.
- iv. ensure that Health and Safety Legislation is adhered to and recommend improvements where necessary.

Compliance

Failure to comply with the requirements of this Driving at Work Policy and Handbook may result in the disciplinary procedure being invoked.

Vehicles

All vehicles, whether they are owned by Hartlepool Borough Council, leased, hired or privately owned, must be suitable for work related purposes, be maintained and roadworthy, have a valid MOT (where applicable), have the relevant road tax licence, and be appropriately insured.

Council Supplied Vehicle

The legal responsibility for ensuring that Council supplied vehicles are mechanically sound and roadworthy lies with the Fleet Manager. However, it is important to stress that it is a driver's responsibility to undertake all required checks before commencing driving activities. This checklist is available in the section headed 'Safer Driving' on page 14.

Each vehicle supplied by the Council will:

- be roadworthy and legal.
- have a current MOT where applicable.
- have a valid road tax disc.
- be serviced in accordance with Service Level Agreements and manufacturers recommended intervals.

Employee Supplied Vehicles

All employees who use their own vehicle for business are expected to ensure that their vehicles:

- are in a roadworthy condition.
- have a valid MOT Certificate if required.
- have a valid road tax disc.

It is recommended that an employee supplied vehicle is serviced in accordance with manufacturers recommended intervals.

It is also recommended that employees using privately owned vehicles on Council business undertake basic daily vehicle checks before commencing driving activities. This checklist is available in the section headed 'Safer Driving' on page 14.

Driver Documents

Any employer who requires employees to drive a vehicle in the course of their duties has a statutory responsibility and duty of care to ensure compliance with Health and Safety Legislation and Road Traffic Law.

The driver of a vehicle used on a public highway must hold a valid licence and insurance (and MOT Certificate where applicable) and display a valid tax disc for the category of vehicle driven.

Driver documents are recorded in accordance with Hartlepool Borough Council Data Protection Policies and are only used for the purposes of ensuring compliance with Health and Safety Legislation, employees conditions of service and the Driving at Work Policy and Drivers Handbook.

Driving Licences

All drivers must ensure that they have a valid driving licence for any category of vehicle that they currently drive or may be reasonably requested to drive. A valid licence is:

- Pink or green paper only licence.
- Photocard with accompanying paper part.

Legal Obligations – Driving Licences

It is the responsibility of the driver to ensure that their Driving Licence is current and valid. The DVLA must be informed if the driving licence holder changes name and/or address or the driver has any notifiable medical conditions.

Any person riding a motorcycle on Council business must have the appropriate licence for the capacity of motorcycle being used.

Further details of the current licensing law are detailed in the following website:

http://www.direct.gov.uk/en/Motoring/DriverLicensing/DG_201187

Failure to notify the DVLA of any changes can result in a fine of up to £1000.

Full details of driver obligations can be found on the DVLA website at www.dvla.gov.uk

NOTE – The photocard driving licences must be renewed every 10 years and it is the licence holders responsibility to ensure that their licence is renewed within this time.

Typically driver documents will be viewed annually by the appropriate persons in the respective directorates. However Table 1 applies where staff have recorded motoring convictions and penalty points.

Table 1 – Penalty Points and Driving Licence Viewing/Recording

Penalty Point Totals	Licence Viewed	Action
0-5	Every 12 months	Monitor offences only
6-8	Every 6 months	After interview employee must undertake a short driver intervention course which may be a theory only presentation or 'e' learning package.
9+	Every 3 months	After interview the employee must undertake an extended Safety Intervention Driver Training presentation and practical in-vehicle coaching/assessments to minimise risk.

Discussions/meetings with the employee will be undertaken by appropriate staff and the outcomes will be recorded on the corporate system. Discussions will focus on the offence and any intervention required in order to reduce reoffending and reducing risks. This will be discussed with line management prior to implementation of any recommended course of action.

Staff must inform their Line Manager and nominated Departmental Representative immediately if their Driving Licence changes in respect of penalty points or motoring convictions.

Driving Licence Validation

Hartlepool Borough Council reserves the right to validate Driving Licences via the DVLA. All drivers must complete a Driver Mandate Form to enable this validation to take place when requested. The completed mandate is valid for three years, but should an employee leave the Council, the mandate will be cancelled and destroyed and no further checks will be undertaken.

Insurance

All drivers and motorcycle riders using their own vehicle for all work related journeys are responsible for ensuring that in respect of the vehicle being driven for work purposes they

- have appropriate insurance cover (this must include appropriate business use cover) and
- are a named driver on the insurance policy for the vehicle

All vehicles supplied by the Council are insured for the purposes of the Councils business only, unless otherwise stated.

MOT's

All employees whose vehicle is 3 years old or more must have a valid MOT certificate for the vehicle they drive on Council business.

MOT certificates are copied and securely stored on the corporate recording system.

Fitness to Drive

Under the Health and Safety at Work Act 1974 Section 7 & 8 every employee has a duty to ensure the health, safety and welfare of themselves and others whilst at work.

This means that you are duty bound under the law to ensure that you "Work" safely and must not knowingly do anything which may put yourself or others (Co-workers or members of the public) at risk.

Alcohol and Drugs/Medication (Prescribed, Over the Counter or Illegal)

Hartlepool Borough Council forbids employees (and other sanctioned drivers) to drive a Council vehicle, or their own supplied vehicle, at work in an unfit state due to being under the influence of alcohol, drugs or substances or to be in possession of alcohol (except for official delivery purposes) or illegal drugs on Council property or in a Council supplied vehicle.

The Councils policy is that employees must not take drugs requiring a prescription which have not been prescribed for them whilst in the course of their duties or present themselves for work under the influence of alcohol or drugs which have been consumed / taken prior to commencing their duties.

Employees must not consume alcohol or take drugs/medication (other than prescribed or over the counter drugs taken in accordance with medical advice) whilst on duty.

Drivers should always remember that it is still possible to be 'over the limit' from alcohol previously consumed e.g. the previous night.

Drivers are also reminded that it is an offence, under Road Traffic Legislation, for vehicles to be driven whilst under the influence of certain types of drugs. If you are being prescribed drugs for any medical condition, it is important to make the situation clear to any GP treating you, that you are required to drive as part of your employment and seek advice as to whether these medicines will impact on your driving..

If you are prescribed any medicines that influence your driving, you must inform your line manager.

The Council will make every effort to find alternative employment for drivers who are temporarily rendered unfit to drive, as a result of taking prescribed and over the counter drugs/medication in accordance with medical advice, but who are still able to undertake other duties.

Smoking

It is the policy of Hartlepool Borough Council that all our workplaces are smoke free and all employees have a right to work in a smoke free environment.

Smoking, including the use of Nicotine Containing Products that produce a smoke or vapour such as e-cigarettes is not permitted in Council owned or supplied vehicles and vehicles being used on Council business.

Tiredness and Fatigue

It is an employees responsibility to ensure that they are fit to drive at all times. Driving when tired reduces concentration and greatly increases your risk of having an accident. Long journeys without adequate breaks are recognised as contributing to driver fatigue.

Sleep does not occur spontaneously or without warning. If you begin to feel drowsy look for a safe place to stop and take a suitable break.

When driving longer distances on Council business you should leave plenty of time for journeys including time for breaks. It is recommended that you take at least a 15 minute break every 2 hours of continuous driving.

Only drive if you feel alert and are fit to do so.

Eyesight

The Highway Code stipulates that all drivers must be able to read a number plate from 20 metres. This is a legal requirement and the test can be undertaken wearing glasses, lenses or other vision corrective measures prescribed for driving purposes.

All employees driving either Council supplied or privately owned vehicles on Council business must undertake a 'drivers' eyesight test as required.

The cost of the eyesight test and the provision of basic vision corrective appliances (e.g. glasses, lenses or other vision corrective measures prescribed for driving purposes) will be met by Hartlepool Borough Council.

It is an employee's responsibility to ensure that they do not drive with defective vision. You must inform your Line Manager immediately if your eyesight is defective or impacts on your ability to drive.

If your driving licence is suspended as a result of you failing a Police administered roadside eyesight test, you must inform your Line Manager immediately.

It is your responsibility to inform DVLA of any medical condition that impacts on your ability to drive. If in doubt consult your Doctor.

If you are prescribed glasses, contact lenses or other vision corrective measures for driving purposes you must wear them when driving at all times.

Some medical conditions require you, as a driver, to notify DVLA about your medical condition and they will give the appropriate advice to determine whether you are able to drive.

How to tell DVLA about a medical condition:

http://www.direct.gov.uk/en/Motoring/DriverLicensing/MedicalRulesForDrivers/DG_4022415

Driving eyesight requirements:

http://www.direct.gov.uk/en/Motoring/LearnerAndNewDrivers/LearningToDriveOrRide/DG_4022529

Mobile Phones / Two Way Radios and other Handheld Devices

The Council prohibits the use of hand held mobile phones, two way radios and other handheld devices, whilst driving. In addition where hands free kits are provided these should only be used for incoming calls and then only when it is safe to do so. The message should be brief; outgoing calls should only be made when the vehicle is parked in a safe, legal place with the engine turned off.

These rules apply to the use of all types of mobile or fixed communication or other electronic equipment including satellite navigation and telematics equipment.

In brief the current legislation makes it an offence for a driver to:

- Speak or listen to a phone call on a hand held phone.
- Send or receive text messages or images.
- Use any hand held device to access data, including the internet.
- Hold any electronic device used for "accessing" oral, textual or pictorial communications.

There is an exception for calls to 999 in a genuine emergency where it would be unsafe or impractical to stop.

When driving on Council business, set the device to divert or voicemail and only answer it when you are parked in a safe, legal place with the engine turned off.

When you ring someone on a mobile phone, ask if they are able to talk and if they are driving say you will phone later and close the call.

Using 2-way radio equipment when driving is not covered by this offence; however the same precautions should be taken when using 2-way radios because users can still be convicted of careless driving while using a 2 way radio, should an accident occur.

Seatbelts / Child Seats

Hartlepool Borough Council requires every driver and passengers wear a seatbelt unless they have a valid exemption certificate.

Wearing seat belts saves lives and reduces the risk of serious injury in a collision. The Law requires everyone to wear a seat belt if one is available; unless you are exempt (exemption certificates are only available via your GP). It is illegal to carry an unrestrained child in the front of any vehicle.

In all cases when carrying child passengers an appropriate child seat / restraint / booster seat must be used in cars. For minibuses etc. then seat belts should be worn or a child seats / restraint / booster seat used if available in all circumstances.

Any driver using a vehicle on Council business and carrying passengers must ensure that all passengers wear a seat belt and/or use an appropriate restraint unless they have a valid exemption certificate.

Drivers transporting children and adults with special education needs must ensure that all risk assessments are adhered to and that the driver takes responsibility for ensuring all passengers are appropriately restrained they have a valid exemption certificate.

As a condition of hire for any Council procured vehicle all drivers and passengers must wear a seat belt.

If any member of staff has a query around the wearing of seat belts or thinks that they may have an exemption for the job they do, then please contact the Council's Road Safety Section immediately.

For advice and guidance in respect of the use and fitting of seatbelts and child restraints visit:

<http://www.childcarseats.org.uk/>

Accidents and Incidents

All incidents/accidents involving any vehicle being driven on Council business, including hire vehicles, must be reported regardless of the amount of damage, including incidents/accidents not involving a third party.

As part of the Councils on-going risk management policy, collisions are recorded and may be investigated as is necessary.

In the event of a collision or injury in any vehicle whether your own or a Council supplied vehicle and are on Council business:

- a. Stop at the scene, switch off your engine and switch on your hazard warning lights.
- b. Your first priority is safety and care of everyone involved. Call an ambulance in the case of an injury and the fire brigade if someone is trapped. Remember, legally you must contact the Police if anyone is injured.
- c. Check the vehicles for damage.
- d. Provide any person having reasonable grounds for so requiring, with our driver, vehicle and insurer details. At no stage admit responsibility and make no comment or statement regarding the incident/accident (except to a Police Officer).
- e. If a camera or camera phone is available, photograph the incident location from a number of different directions and take pictures of any vehicles / property damaged.
- f. Obtain vehicle registration numbers and contact details including telephone numbers of all drivers involved.

- g. Notify your Line Manager immediately and complete an 'Incident Recording Form'
- h. Participate in all resulting investigations.

Motoring / Parking Offences

Drivers, whether driving a Council supplied vehicle or driving their own, must not break the law in respect of motoring offences.

A driver is personally responsible for any fines/penalties imposed as a result of breaking the law. If you are convicted of a driving offence and consequently lose your driving licence it may mean your suspension from work, and/or subsequent disqualification, or redeployment to another appointment within the Council.

All vehicles must be parked legally, in a safe manner as not to cause an obstruction for other vehicles and road users.

Range of Driver Interventions

In order to reduce an employees risk when driving on Council business a range of driver interventions have been designed including:

1. Online Driver Assessment – IT or paper based assessment tool to determine risk based on a drivers profile, Highway Code knowledge, hazard perception, experience, attitude and behaviour.
2. Theory Presentations - based on defensive driving and risk reduction. A generic presentation to cover this policy, your driving and the law.
3. Practical Driver Training/Assessment and Coaching Session – vehicle specific driver assessment and coaching using professional approved driving instructors to minimise risk through a practical intervention.
4. 'E' learning – IT based learning modules bespoke for improving knowledge of highway code, hazard perception, driver based knowledge and to improve attitude and behaviour.

Driver/Rider Intervention Options

The Council is seeking to reduce the risk of all employees driving on official Council business.

Table 2 below profiles those drivers driving on Council business where intervention training/awareness courses will be delivered in order to:

- Reduce the risk posed by staff when driving.
- Ensure staff are aware of the Council's policy and their requirements under health and safety legislation, Road Traffic Law and the Highway Code.
- Ensure that the Council, staff and members of the public are covered should a driving incident occur that results in prosecution.

Table 2

Staff Profile	Assessment Period or Intervention
One or more of the following: Driving forms a significant part of their role	Every 3 years to include an assessment/risk profile, theory presentation and practical driver assessment/coaching programme as

<p>Be aged under 25 and drive on official business (based on inexperience and vulnerability/ insurance premiums).</p> <p>Be aged over 55 and drive on official business.</p> <p>Drive on Council business on a daily basis.</p> <p>Have 9+ points on their licence.</p> <p>Have had a major blameworthy accident on Council business.</p>	<p>required.</p>
<p>One or more of the following:</p> <p>Driving forms an element of their role</p> <p>Drive on Council business on a weekly basis</p> <p>Have 6-8 points on their licence.</p> <p>Have a minor blameworthy accident on Council business.</p>	<p>Every 4 years to include an online assessment, theory presentation and practical driver assessment/coaching programme.</p>
<p>One or more of the following:</p> <p>Driving forms an incidental element of their role.</p> <p>Occasionally drive on Council business.</p>	<p>Every 4 years staff to receive a package of theory based safety interventions to maintain low risk rating.</p>

Safer Driving – General Information for all Drivers.

All drivers are expected to carry out daily visual inspections of their vehicles. Drivers of Council vehicles must complete an in-vehicle recording book and detail the visual inspection, the journey details including mileage undertaken. This must be signed and dated by the employee using the vehicle.

In respect of staff providing their own vehicle it is recommended that for all trips a visual inspection is undertaken.

Employee supplied vehicles should undertake standard daily/weekly or monthly visual checks.

FLOWERY:

F= petrol or diesel (daily inspection)

L = lights (daily inspection)

O = oil (monthly inspection)

W = water (coolant including screen wash) (coolant system – monthly inspection and screen wash weekly inspection)

E = electrics – indicators, check for dashboard warning lights (daily inspection)

R = rubber such as tyres and wiper blades (daily visual inspection of tyres, wiper blades weekly inspection)

Y = yourself, are you fit to drive? (daily)

It is recommended that any rider using their motorcycle on Council business undertakes the basic checks detailed in Appendix 1.

No vehicle, whether supplied by the Council or the employee, is to be driven in an illegal or unroadworthy condition. If a vehicle becomes unroadworthy it must be taken off the road immediately and you must inform your Line Manager.

In the instance of a Council supplied vehicle this must be reported immediately to Fleet Management.

If this occurs in an individual's private vehicle the individual is expected to deal with the situation such as arranging recovery. However if they have passengers for who they owe a duty of care they can arrange at the Council's expense to obtain a taxi and ensure any passengers are moved to a relevant place of safety e.g. their home, foster home, care centre etc.

Driving Position

Before setting off make sure that your seat, headrest and mirrors are in the correct position and you are comfortable to drive with the seat belt correctly adjusted for safety and comfort.

Seat

Your seat should be positioned so that the pedals and all other controls can be reached comfortably.

Head Restraint

Ensure that your head restraint, whether as a driver or a passenger is adjusted correctly, you should:

- Ensure that the top of the head restraint is as high as the top of your head.
- Position the head restraint as close to the rear of your head as possible.

Remember a correctly adjusted head restraint can protect you against whiplash and protect you against long term injury in a collision.

Mirrors

It is important that your mirrors are positioned so you can see all road users around you. Position your wing mirrors:

- Horizontally so that you can see one third sky and two thirds road.
- Vertically so that you can see your vehicle and two thirds the road.

Doors

Ensure that all doors of the vehicle are properly closed before you set off, including any side doors, access points and tail lifts.

Theft and Vandalism

All drivers must ensure:

- the ignition key is removed and the vehicle locked whenever the vehicle is left unattended
- that no valuables are left on show in the vehicle.
- that all tools and equipment are removed from the vehicle overnight and securely stored if a vehicle is not garaged in Council premises
- that any vandalism or theft is reported to the Police and your Line Manager.

Driving Safely

Always drive within the legal speed limits, obey signs and follow the Highway Code when driving on the public highway, on schools grounds and Council premises. Remember you are representing Hartlepool Borough Council when driving on official business. Show consideration for other road users and do not respond aggressively towards discourteous road users.

Safe Loading and Distribution

All loads carried in your vehicle whether inside, on the roof or in the back must be secure to prevent it from moving during your journey.

- ensure that all loads are evenly distributed to prevent damage to axles and to ensure the vehicle is stable.
- ensure that all loads do not exceed the vehicles permitted gross weight.
- when transporting gas bottles ensure that they are carried upright in racks, are secure from excessive movement and your vehicle displays the appropriate signage

Unrestrained loads in cars, especially estates, can cause major accident damage and personal injury by destabilising the vehicle or by becoming a missile 'flying' through the vehicle if the driver brakes or swerves suddenly.

Towing

The ability to tow a caravan or trailer will depend on the driving licence you hold. The category entitlement on your driving licence will determine the type of trailer you can tow.

Drivers who passed a car test before 1 January 1997 retain their existing entitlement to tow trailers until their licence expires. This means they are generally entitled to drive a vehicle and trailer combination up to 8.25 tonnes Maximum Authorised Mass (MAM). They also have entitlement to drive a minibus with a trailer over 750kgs MAM.

Drivers who passed a car test on or after 1 January 1997 are required to pass an additional driving test in order to gain entitlement to category B+E and all larger vehicles. In addition to the new driving tests, drivers of vehicles which fall within subcategories C1, C1+E, D1 and D1+E also have to meet higher medical standards.

Using a Tail Lift

Any vehicle fitted with a tail lift should be used in accordance with the manufacturers instructions. You must not exceed the weight displayed on the tail lift.

Using a Ladder Rack

Ladder racks fitted to vehicles must be used in accordance with manufacturers instructions.

Height of Vehicles

Ensure that you are aware of the height of the vehicle that you are driving with particular reference to bridges. Plan your route carefully and consult with the Highways Section to obtain bridge heights and low structures.

Motorcycles

When riding a motor cycle on business or for commuting purposes when called out to work, there are specific requirements that should be adopted each time a journey is made. These are detailed in Appendix 1 and must be adhered to wherever possible.

Staff riding to and from (when called out) and during work **MUST** wear the minimum clothing requirements specified below.

General Considerations/Advice

Always ride with consideration for other road users, within legal speed limits and at speeds which are appropriate to road and weather conditions.

Never ride a motorcycle, whatever the engine size or weather conditions, in anything other than clothing designed for the purpose.

The very *minimum* recommended clothing inventory should consist of:

1. Jacket & Trousers (fitted with CE® approved armour)

2. Helmet which complies with:

a. British Standard BS 6658. Helmets to this standard have two performance levels 'A' and 'B'. The 'A' standard demands a higher performance from the helmet. Helmets to both BS6658 'A' and 'B' continue to be legal for sale.

b. United Nations ECE Regulation 22.05. The 05 series of amendments to ECE Regulation 22 has created a performance level that is equal to or superior to that of BS 6658, and the sale of helmets

to this standard was therefore permitted in the Motorcycle (Protective Helmets Regulations) 2000 effective from June 30th.

3. Gloves with robust wrist restraint and protection and boots which give ankle and shin protection.

Appendix 1

Requirements and Recommendations

	Requirements	Additional Measures
Riding a motorcycle	Current rider licence.	Specific training, role assessment and aptitude checks.
Conduct	Working motorcycles, especially when branded should exemplify the principles of the company.	Rider and machine should always be clean. Gestures of acknowledgement and appreciation are encouraged.
Using a motorcycle in traffic, carrying loads, carrying pillion	Being exceptionally vigilant, responsible and aware with regard to other road users. Apprising pillion of behaviour requirement whilst on machine. Awareness of pillion experience and effect on machine. Awareness of effect of additional load.	Specific additional road safety training using an approved body.
Personal protection	Proper protective clothing to be worn whilst riding. Some form of identification to be clearly worn indicating emergency telephone numbers and contacts.	This clothing should provide hi-visibility to other road users.
Noise	Earplugs to be worn whilst riding.	Tailored earplugs are available to individual requirements.
Weather (wet)	Use water-proof clothing or rain-proof over suit.	Enable rider to 'dry-off' at least every 2 hours in continuous bad weather.
Temperature	Wear appropriate thermal and other additional clothing. Attention to adverse road conditions	Addition of specific equipment e.g. heated grips, heated waistcoats etc. The operation may cease if the road temperature falls below freezing.
Machine maintenance	Good preventative maintenance to be undertaken including visual checks of tyres etc. on a daily basis	
Fitting of new tyres	Ensure tyres are compatible with machine. If 1 tyre only is fitted, ensure tread and type are suitable for existing tyre. Ensure tyre(s) are 'scrubbed' in for 100 miles.	
Visibility	Hi-visibility clothing/markings to be applied/worn at all times.	Main headlight to be on whilst riding to increase other road user's awareness.
Parking/Security	Immobiliser/alarm to be activated and/or chain to be attached to immovable object and keys removed from machine. If required to park at the roadside, activate warning lights if possible	If possible park in a secure parking zone with CCTV and personnel in attendance

Pre-Riding Checks

- Visual examination of the machine for damage, defects or leaks
- Tools present and in good order (if appropriate)
- Check additional safety equipment (beacons, high viz graphics etc) ensuring all are in good and working order
- Check panniers and top-boxes are secure and locked
- Wheels in good order and secure; spokes, if fitted, secure
- Tyres - check both tyres for:
 - damage
 - tread depth and condition
 - valve condition
 - pressure (pressure settings are only accurate when tyres are cold; take into account whether you will be riding solo or not)
 - compatibility of type
- Adequate fuel, oil, water and other fluids
- Luggage and panniers secure and well balanced
- Lights – including high intensity fog-light, day running lights, indicators and brake-light – in working order
- Steering head moves freely from lock to lock
- Horn working correctly
- Foot rests in good order
- All glass clean – lenses, mirrors and windshield
- Visor clean and scratch free, treated with anti-mist spray if appropriate
- Helmet undamaged and well-fitting
- Drive chain in good condition and properly adjusted
- Suspension settings suitably adjusted (take into account whether you will be riding solo or not)

Appendix 2 - DECLARATION BY EMPLOYEE

I understand that **Hartlepool Borough Council** expects each employee to uphold the conditions of roadworthiness demanded by law. Road safety is everybody's responsibility.

These elements apply irrespective of who supplied the vehicle that is driven on business.

I have read and understood Hartlepool Borough Councils **Driving at Work Policy and Driver Handbook** and whilst at work will drive in accordance with the policy and handbook at all times.

I understand that failure to abide by the above terms could result in the disciplinary procedure being invoked.

Employee's name:

Signed:

Date:

Hartlepool Borough Council Cycle Policy

Riding on Business.

Contents

1. Introduction	2
2. Policy Statement	2
3. Personal Protective Equipment	2
4. Guidelines on Cycle Mileage	2
5. Insurance	3
6. Use of Pool Cycles	3
7. Guidance for Managers	3
8. Employee Responsibilities.....	3
9. Further Information and Advice.	4
Appendix 1 – Safety and Personal Protective Equipment.....	5
Appendix 2 – Pool Bicycle Booking Form	6
Appendix 3 – Cycling for Work Risk Assessment	7
Appendix 4 – ‘M’ Check.....	8
Appendix 5 – Guidelines for Route Planning / Safe Cycling.....	9

1. Introduction

As part of the drive to reduce the Council's Carbon Footprint as well as improving the health and wellbeing of the workforce, Hartlepool Borough Council encourage employees to use cycles as a means of getting to and from meetings and for site visits where it is reasonable and practical to do so.

Most locations / venues within Hartlepool are within cycling distance for employees. Employees should obtain agreement with their line manager with regards to the suitability of any cycle journey, giving consideration to factors such as:

- Whether there is a need to carry luggage / equipment
- Whether cycle parking is available at the final destination
- The employees competence as a cyclist
- The nature of roads / route to be followed

2. Policy Statement

The purpose of this policy is to provide requirements and guidance for the use of cycles by employees in connection with Hartlepool Borough Council (HBC) business. The scope of the policy includes all employees using a bicycle (whether or not owned by HBC) as part of their daily work (including travelling to and from meetings, sites etc.) but not including commuting.

The law requires employers to assess risks to all employees and other persons affected by their undertaking, and to do what is reasonably practicable to control these risks.

Hartlepool Borough Council accepts its responsibilities and is committed to reduce risks to employees that cycle for work by:

- Issuing clear policies and guidelines
- Giving guidance on daily maintenance checks of cycles
- Regularly maintaining pool cycles
- Encouraging the reporting procedures on poorly maintained roads / cycle paths
- Issuing appropriate Personal Protective Equipment (PPE) to employees using cycles on Council business
- Ensuring that PPE is worn and correctly fitted
- Ensuring that all cyclists know that at night and in poor light conditions they must use front and rear lights and have an efficient red rear reflector

3. Personal Protective Equipment

The Council's policy is that at all times when cycling on Council business, either on their own or a council bike, employees must wear appropriate PPE including cycle helmets and high visibility clothing as set out in Appendix 1. In addition employees shall ensure that their cycle complies with the requirements set out in Appendix 1.

4. Guidelines on Cycle Mileage

A cycle allowance equivalent to the maximum HM Revenues and Customs Income Tax and National Insurance free cycle rate (currently 20p per mile) will be paid to employees who cycle on Council business. This allowance is only payable on business mileage, not home to work travel and is only payable to those using personal cycles and not pool cycles.

Employees cannot claim the allowance if they have use a bicycle loaned to them by their employer under a salary sacrifice scheme i.e. Cyclescheme.

5. Insurance

Employees using their own bicycle must have an insurance policy that covers both themselves and the Council in respect of third party personal injury or damage arising from the use of the bicycle on Council business. The simplest way to do this is to add the bicycle to household contents insurance, although there are also a range of specific cycle insurance policies available.

The Council's existing Personal Accident insurance will operate in respect of employee accidents leading to a permanent disability sustained at work on both pool and employee owned cycles.

Third party liability cover is in place for cycles owned by the Council and used by authorised employees for business use. There is no cover for social, domestic and pleasure use.

There is no cover in place for the theft or damage of either the Council's or the employee's own cycles. Employees are advised to arrange their own cover for personal cycles.

6. Use of Pool Cycles

The Council has a number of electric cycles available for employees to use to undertake business journeys and can be borrowed by contacting the Sustainable Travel and Road Safety Section.

Employees wishing to use the pool cycles will need to:

- Complete a Loan Bicycle Booking Form (Appendix 2)
- Use the lock provided to secure the bicycle when left unattended.
- Wear PPE as set out in Section 3 and Appendix 1. This will be provided by the Sustainable Travel and Road Safety Section at the time of the loan.

7. Guidance for Managers

Managers with employees who cycle for work will:

- Carry out a risk assessment using the attached example (Appendix 3) as a basis. The risk assessment needs to be specific to the service area and reflect and particular requirements employees may have.
- Check that employees have and wear appropriate PPE (as set out in Appendix 1) for all business journeys by cycle.

8. Employee Responsibilities

In order to cycle on Council business, employees will:

- Ensure the bicycle to be used is in a roadworthy condition and has the safety features detailed in Appendix 1
- Carry out basic maintenance checks prior to cycling on Council Business (see Appendix 4 – the 'M' check)
- Wear an approved, correctly fitted cycle helmet and high visibility clothing as set out in Appendix 1.
- Ensure they are medically fit to cycle.
- Ensure that they are competent and confident enough to cycle the particular journey.
- Have their eyes tested regularly as advised by your optician. Employees riding cycles for business are entitled to a free eyesight test (paid for from local staffing budgets) as deemed necessary by the Council's opticians.
- Follow the advice set out in Appendix 5 in relation to route planning / safe cycling

- Have undertaken, in conjunction with their line manager, a risk assessment for cycling for work. To assist, a model assessment is provided in Appendix 3.
- Comply with the Control Measures detailed in their cycling for work risk assessment.
- Have an appropriate third party insurance policy that covers both the employee and the Council in respect of third party personal injury or damage if they are using their own bicycle on Council business.

9. Further Information and Advice.

Riding a bicycle for work is an individual activity and employees are very much responsible for their own safety. However, the Council can provide a range of further information, advice and guidance that will help to enable employees to cycle for business journeys.

For general information on cycling, advice on routes, or a copy of the Hartlepool Cycle Map contact the Sustainable Travel and Road Safety Section on (01429) 523259 or email robert.snowball@hartlepool.gov.uk. Comments / concerns / suggestions on the existing cycle network in Hartlepool can be made through this Section.

The Sustainable Travel and Road Safety Section can also provide bicycle training to help develop skills and experience for people who want to cycle for work. Call (01429) 523259 or email robert.snowball@hartlepool.gov.uk to discuss your requirements.

The Council's Sports and Physical Activity Team operate a cycle clinic from Summerhill. They have qualified cycle mechanics and offer bike servicing and repairs to members of the public. If you have any concerns about your own bike (whether it is being used for business journeys or not) contact them on (01429) 284584 and they will be happy to discuss your options.

HBC also offer employees access to obtaining new cycles through a salary sacrifice scheme (Cyclescheme). Further details are available on the HBC Intranet under Cyclescheme.

Any defects on the highway and cycleway network that you encounter can be reported via the Council's Customer Service Centre on (01429) 523333 or email customerservices@hartlepool.gov.uk.

Appendix 1 – Safety and Personal Protective Equipment

As examples, suitable safety and personal protective equipment for riding cycles for work purposes (either their own or a Council bike) include:

- Reflective and fluorescent clothing conforming to BSEN 471 (and carries a label to indicate this).
- A cycle helmet conforming to B.S. 6863 and be labelled accordingly.
- Lights must be used by employees riding during the hours of darkness, in adverse weather or reduced visibility.
- Lights must be in working order and comply with B.S 6102/3.
- All cycles must have front, rear, and pedal and spoke reflectors fitted which comply with B.S. 6102/2.

Appendix 2 – Pool Bicycle Booking Form

Pool Bicycle Registration Form

To be completed by employee:

I understand and agree to the following terms and conditions relating to the use of pool cycles.

1. I will wear, at all times when cycling on Council business, an approved bicycle helmet to BS / European standard and a Hi Visibility vest.
2. I will carry out a safety check before use and report any faults that develop with the bicycle as they occur (or as soon as practically possible)
3. I will use the lock provided to secure the bicycle when leaving it unattended.
4. I understand that the bicycle, safety equipment and accessories are in my care from signing out to the return of all items and keys after use.
5. I understand that I am covered by the Council's third party and personal injury insurance policies when using pool cycles for business
6. I agree to abide by the conditions set out in this policy, to take care of my own health & safety and that of others and to follow the Highway Code at all time.

Please ask for a demonstration of how to use the Electric bicycle if this is the first time you have borrowed a pool bicycle. If you have any concerns or require cycle training please speak to the Sustainable Travel and Road Safety Section prior to borrowing a pool bicycle.

NAME.....

DEPARTMENT.....

SIGNATURE.....

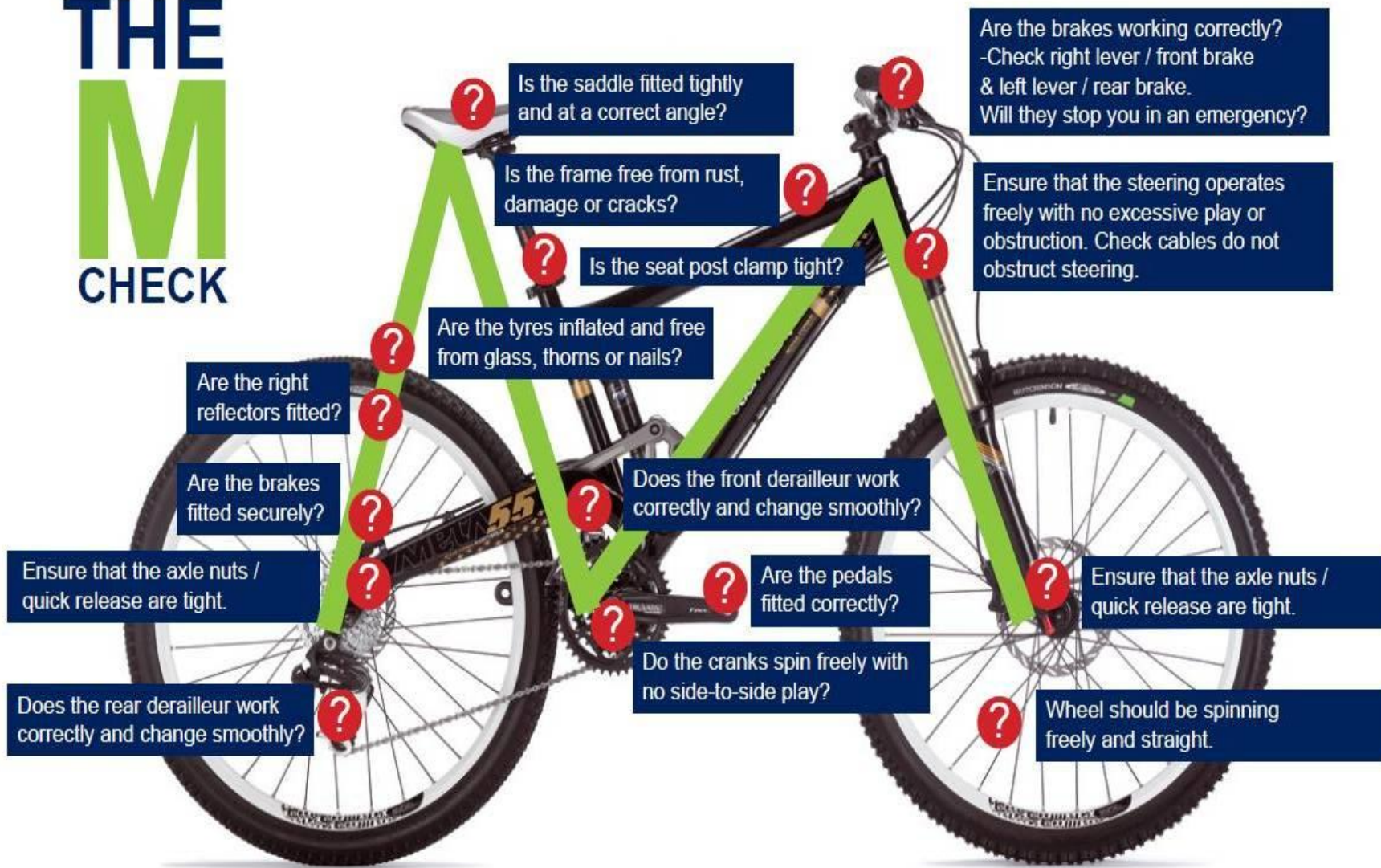
DATE.....

PERIOD OF LOAN: FROM TO

Appendix 3 – Cycling for Work Risk Assessment

DRAFT

THE M CHECK



Appendix 5 – Guidelines for Route Planning / Safe Cycling

Before Setting Out

Plan the route in advance and if possible take a quieter route avoiding heavy traffic (i.e. NCN or back roads) and take a map if you are unfamiliar with the area.

Consider the location and nature of your journey and if there may be any concerns from travelling alone (such as, rush hour traffic, road works, local diversions, 'unfriendly neighbourhoods', etc).

Ensure that the bicycle being used is in good order by carrying out a simple visual check yourself covering basic items. – see 'M' check in Appendix 4

If you are using a pool/office bicycle check the logbook to make sure there are no outstanding repairs which may affect its safe use.

Check the weather forecast if you are going out for more than a couple of hours.

Dress for the weather and take any additional clothing you may need.

Take sun cream if you may need protection from the sun.

Take lights if you anticipate riding outside daylight hours.

Take a mobile phone to call for help if you are likely to be away from immediate assistance i.e. houses, shops etc.

Take a tool kit, pump and spare inner tube if you feel able to repair a puncture yourself.

Do not ride if you have been drinking alcohol or taking medication which may make you drowsy or affect your ability to ride safely.

Allow ample time to reach your destination. Take a professional approach to planning and carrying out your journey.

Whilst Riding

Do not cycle on roads/tracks you do not feel comfortable with.

Be prepared to get off and push if the situation warrants it.

Find an alternative route or return with a colleague on another occasion if necessary should you have any concerns for your personal safety or security, particularly after dark.

Be careful if riding near water, keep a safe distance from the edge and watch out for anglers.

Be careful of other users on traffic free paths. Take particular care around horses and other animals. Give a timely warning and be prepared to slow down or stop to let them pass.

Remove any flags you have if passing horses.

Lift cycles carefully over barriers, up and down steps etc. to avoid strain injuries.

On roads follow the Highway Code.

If you are tired take it easy, take a break and aim to remain alert.

Remember you are riding on business. Do not race or attempt an unreasonable pace or distance.

Carrying Loads

If carrying heavy loads, such as boxes of paper, publicity stand components, etc. ensure that the weight is distributed evenly between front and back and left/right. Carry all items in cycle luggage designed for that purpose. A bicycle will behave differently when carrying loads – anticipate this behaviour.

Do not carry heavy loads in any form of rucksack on your back.

Do not overload the bicycle.

Take care with light, bulky loads.

Avoid carrying loads in your hands and whilst riding, keep both hands on the handlebars, except when changing gears, etc.

FINANCE AND POLICY COMMITTEE

18th August 2014



Report of: Corporate Management Team

Subject: STRATEGIC FINANCIAL MANAGEMENT REPORT -
AS AT 30th JUNE 2014

1. TYPE OF DECISION/APPLICABLE CATEGORY

Non Key Decision.

2. PURPOSE OF REPORT

2.1 The purposes of the report are to inform Members of:

- i) 2014/15 Forecast General Fund Outturn;
- ii) Corporate Income Collection Performance;
- iii) Progress in achieving the capital receipts target; and
- iv) 2014/15 Capital Programme Monitoring.

3. BACKGROUND AND REPORTING ARRANGEMENTS 2014/15

3.1 The availability and reporting of accurate and up to date financial information will become increasingly important as future budget cuts are implemented and one-off resources are used up.

3.2 This Committee will continue to receive regular reports which will provide a comprehensive analysis of departmental and corporate forecast outturns, including an explanation of the significant budget variances. This will enable this Committee to approve a strategy for addressing the financial issues and challenges facing the Council.

3.3 To enable a wider number of Members to understand the financial position of the Council and their service specific areas each Policy Committee will receive a separate bi-monthly report providing:

- a brief summary of the overall financial position of the Council as reported to the Finance and Policy Committee;
- the specific budget areas for their Committee; and
- the total departmental budget where this is split across more than one Committee. This information will ensure Members can see the whole position for the departmental budget.

4. MTFS CONSIDERATIONS

4.1 The Medium Term Financial Strategy (MTFS) report considered on 30th June outlined the scale of the budget cuts required over the next 4 years (i.e. 2015/16 to 2018/19) and the continuing financial risks facing the Council, particularly in relation to Business Rates. The MTFS report summarised the action taken during 2013/14 to continue the development of the Council's multi-year financial strategy which seeks to partly mitigate the impact of Government grant cuts by allocating one-off resources to support the General Fund budget, to support the Local Council Tax Support scheme and to manage financial risks.

4.2 The MTFS report also indicated that a number of planning assumptions still need reviewing and will be reported to a future meeting. These issues include a review of reserves, which will be covered in a future report, and an assessment of the 2014/15 forecast outturn, covered in this report. Members approved the Corporate Management Team recommendation that any one-off resources identified from these areas should be allocated to address the following priorities:

- Contingency funding for free swims - £27,000

It had been envisaged that the monies from selling the financial interest in the Domes would have been received by now. However, these monies have not yet been received as the legal agreements between the Domes current owner and the new owners have not yet been completed. In order to enable the free swims to progress a fall back funding position is needed. Therefore, it was previously recommend that as a fall back the estimated costs of £27,000 may need to be a call on the 2014/15 outturn.

- Support for 2015/16 Budget - £220,000

The decision at the June 2014 meeting to approve the Corporate Management Team recommendation to allocate the house sale element of the final 2013/14 outturn left an uncommitted net outturn of £0.28m. This amount can be used towards supporting the 2015/16 budget position and the increased deficit in that year arising from clarification of the Better Care Fund. The MTFS report advised Members that this option would require the remaining 2015/16 additional budget shortfall funding of £0.22m to be funded from a combination of the 2014/15 outturn and / or reviewing reserves.

4.3 As part of the June MTFS decision Members also approved the Corporate Management Team recommendation that any uncommitted resources achieved from the 2014/15 outturn and / or review of reserves not needed for the commitments identified in the previous paragraph, should be allocated to address the following priorities to protect the Council's medium term financial position:

- To fund potential one-off protection costs arising from achieving permanent savings from the Terms and Conditions review, which would enable the full saving to be taken within the 2015/16 budget;

- To continue the use of one-off resources to support the budget and protect services beyond 2016/17 when the existing one-off funding of £1.648m will run out.

5. 2014/15 FORECAST GENERAL FUND OUTTURN

- 5.1 The Corporate Management Team is again seeking to achieve underspends to help address the significant financial challenges facing the Council over the next few years. This strategy will also provide funding for one-off commitments not provided for in the approved 2014/15 budget as these items were not known at the time, for example Deprivation of Liberty Safeguarding (DoLs) costs. The Corporate Management Team will seek to achieve budget 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 2015/16 budget;
 - achieving planned 2015/16 savings early;
 - careful management of budgets to avoid expenditure where this does not have an adverse impact on services; and
- 5.2 At a corporate level the Council will also benefit from temporary savings in interest costs by taking advantage of current interest rates structures. However, the level of saving achievable in 2014/15 is not sustainable and reflects the temporary benefit achieved by netting down investments and borrowings. The Council will need to begin to unwind this position as interest rates rise and reserves are used up. The timing of borrowing decisions will need to be carefully managed and timed to secure the lowest long term interest rates possible. Whilst, the level of temporary saving is not sustainable a further permanent saving in loan repayments costs of £0.270m is included in the 2015/16 savings plan.
- 5.3 An initial assessment of the forecast outturn has been prepared based on experience in previous years and actual income/expenditure at the 30th June 2014. These forecasts will be updated as the financial year progresses and the position becomes clearer, particularly in relation to seasonal and demand led budgets.
- 5.4 It should be noted that the forecast outturn has been reduced as a result of the Council having to fund DoL's costs, forecast to be between £0.330m and £0.4m. These costs will be funded from a combination of the 2014/15 Adult Services managed budget underspend and the use of reserves. These costs were not known about when the 2014/15 budget was set and arise from a recent Supreme Court judgement. This unexpected additional cost demonstrates the financial risks Councils face in providing services. This situation underlines the importance of having a multi-year financial strategy which for 2014/15 has avoided the need to make unplanned cuts to offset these unavoidable additional costs.
- 5.5 The forecast outturn for the year is summarised in the table overleaf. This shows a net forecast budget underspend of between £0.547m and £0.662m.

This amount is net of specific reserves contributions to carry forward resources for:

- the Local Welfare Support scheme to continue this scheme in 2015/16 and 2016/17, as approved in the February 2014 MTFS report;
- public health;
- Social Housing schemes to fund future repairs and maintenance expenditure in accordance with the approved business case.

Table 1 2014/15 General Fund – Forecast Outturn

	Worst Case £'000	Best Case £'000
Departmental Core Budget Range reflects seasonal and demand led budgets which are difficult to predict. Details of forecast Departmental Outturns are provided in Appendices B to E, which includes details of the main reasons for the forecast underspends.	(222)	(287)
Departmental Ringfenced Grants		
Local Welfare Support Grant	(375)	(375)
Public Health	(548)	(725)
Departmental Business Case		
Social Housing	(240)	(240)
Property Running Costs The worse case scenario reflects demand led and seasonal budget fluctuations.	60	60
Corporate Budgets This underspend mainly consists of reduced capital financing costs and lower employee pensions costs. These items have been included as permanent savings in the 2014/15 MTFS.	(600)	(650)
Sub Total to be shown in Statement of Accounts	(1,925)	(2,217)
Recommended Departmental reserves as detailed in Table 2 (Para 6.2)	1,378	1,555
Net Forecast uncommitted resources as at 30.06.14	(547)	(662)

- 5.6 After reflecting the commitments detailed in paragraph 3.2 the uncommitted forecast outturn reduces to between £0.3m and £0.415m as summarised below.

	Worst Case	Best Case
	£'000	£'000
2014/15 Forecast Outturn	547	662
Less - Support for 2015/16 budget (as detailed in paragraph 3.2)	(220)	(220)
	327	442
Less - Support for Free Swims 2014 (contingency provision pending receipt of Domes monies)	(27)	(27)
Forecast uncommitted resources	300	415

- 5.7 The amount summarised in the above table is currently forecast to be available towards funding the potential Terms and Conditions protection costs and continuing support of the budget, as detailed in paragraph 3.3. Additional funding will be required for these issues and it is hoped these can be identified from the reserves review.
- 5.8 The forecast outturn figures exclude one-off savings arising from Industrial Action on 10th July, 2014. An initial assessment indicates the value of this saving will be in the order of £30,000 to £50,000. Details of the actual figure will be reported to a future meeting. A strategy for using these resources will need to be developed, including consideration of any suggestion which may come forward from the Trade Unions.
- 5.9 Detailed financial information on the revenue programme for individual Departments by Committee is provided in Appendices A to E.

6. Creation of Departmental Reserves

- 6.1 The outturn projections detailed in the previous section reflect the ongoing assessment of financial risks and / or one-off expenditure commitments and the recommendation that specific reserves are created to manage these issues. This approach will protect the Council's medium term financial position and avoid having to make higher in-year budget cuts when these issues need to be funded.
- 6.2 The following table provides details of the reserves which it is recommended are created, which in broad terms cover the following issues:
- Reserves to fund the phasing of income and expenditure between financial years; or
 - Reserves to meet unavoidable one-off financial commitments.

Table 2 Recommended Departmental Reserves

	Worst Case	Best Case
	£'000	£'000
Reserves Already Approved - Ring-fenced Grants		
<u>Children's - Local Welfare Support Grants</u>	375	375
This creation of this reserve was included in the MTFS and approved by full Council on 4th February 2014 to use the balance of grant funding and the existing reserve to continue provision through to 2017/18.		
Additional Recommended Reserves - Ring-fenced Grants		
<u>Public Health Ring-fenced Grant</u>	548	725
Reserve created in line with grant conditions for repayment or use as initially intended.		
Additional Recommended Reserves - Business Cases		
<u>Social Housing - Creation of Reserve</u>	240	240
Contribution to the Major Repairs Fund in line with the approved business model for the Empty Homes Project.		
Additional Recommended Reserves - Core Budget		
<u>CCTV Relocation Reserve</u>	190	190
One-off funding required to fund the relocation of the CCTV service following the closure of Greenbank as per the F&P Report 18.8.14.		
<u>NEPO Rebates Reserve</u>	25	25
Reserve created to manage the risk that income from NEPO rebates will reduce in future years following the introduction of a new recharge methodology.		
TOTAL	1,378	1,555

7. Corporate Income Collection Performance

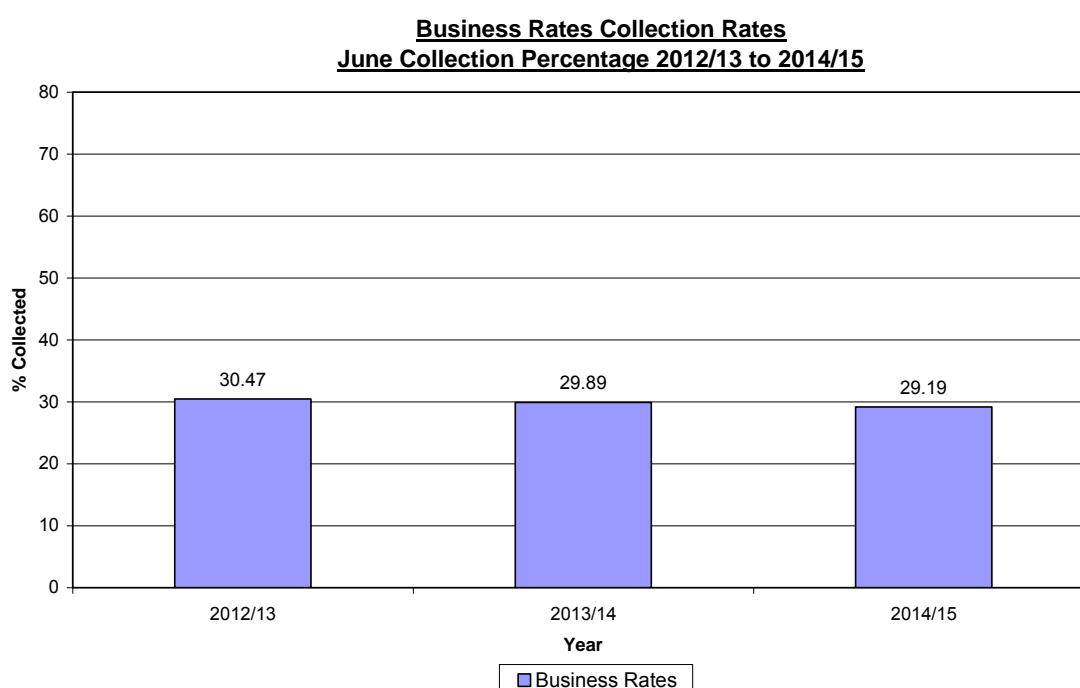
7.1 The 2013/14 Medium Term Financial Strategy report advised Members that significant changes were implemented with effect from 1st April 2013 to re-localise Business Rates and implement Local Council Tax Support schemes. As a result of these changes approximately 45% (i.e. £44 million) of the net General Fund budget is funded from a combination of Business Rates and Council Tax collected locally. The following paragraphs provide more information on the impact of these changes and also progress in collecting Sundry debts.

7.2 Business Rates Income

7.3 The re-localisation of Business Rates is a significant additional financial risk for Local Authorities to manage - 50% of any shortfall arising from either non payment by businesses, or reductions arising from the Valuation Office re-

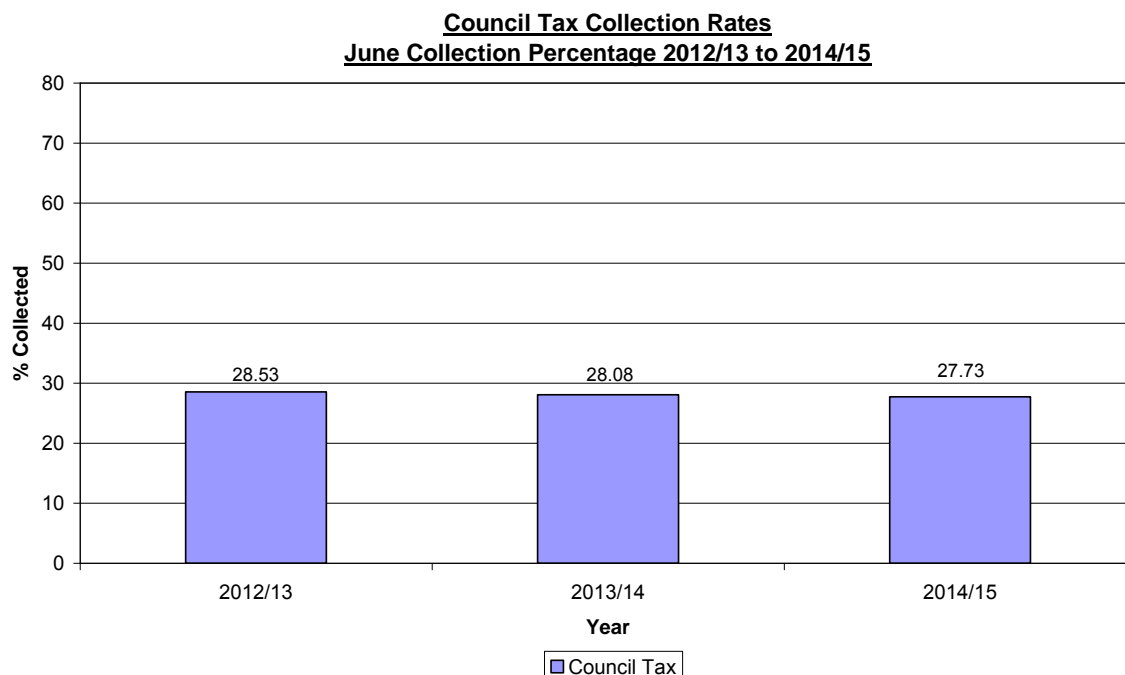
assessing rateable values, falls on individual authorities. A 'safety net' system is in operation, although this only compensates authorities for any shortfalls above 7.5% of the safety net figure. Prior to 2013/14 any shortfall in Business Rates collected was funded at a national level from the overall Business Rates pool.

- 7.4 Collecting Business Rates has always been an important responsibility, and the Council collected 98.5% in 2013/14 (national average 97.25% for unitary and metropolitan councils). The changes associated with localisation of business rates make this an even more important issue for the Council.
- 7.5 In terms of the overall Business Rates collection rate, at the 30th June 2014 the Council had collected 29.19% of the 2014/15 liability, down slightly by 0.7% compared to the same period last year, as summarised in the graph below. It is anticipated that the annual target of 98% collection will still be achieved.

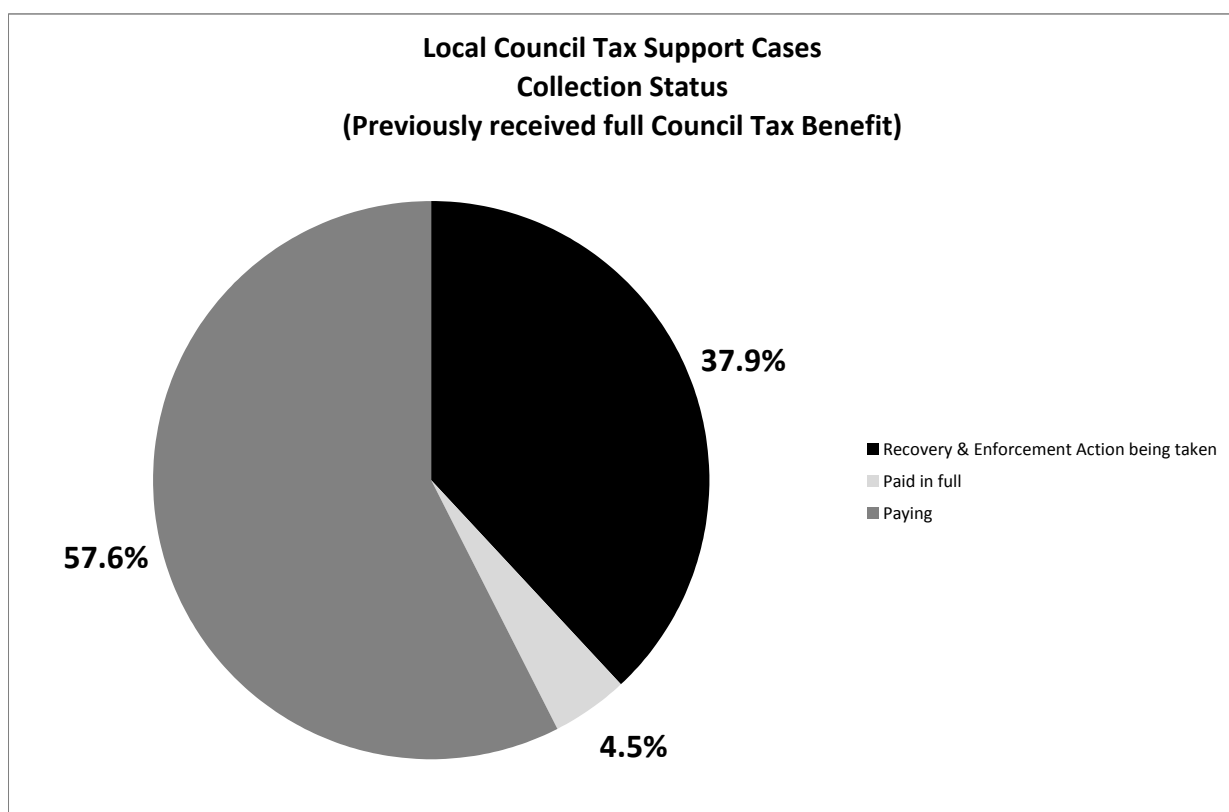


7.6 Council Tax

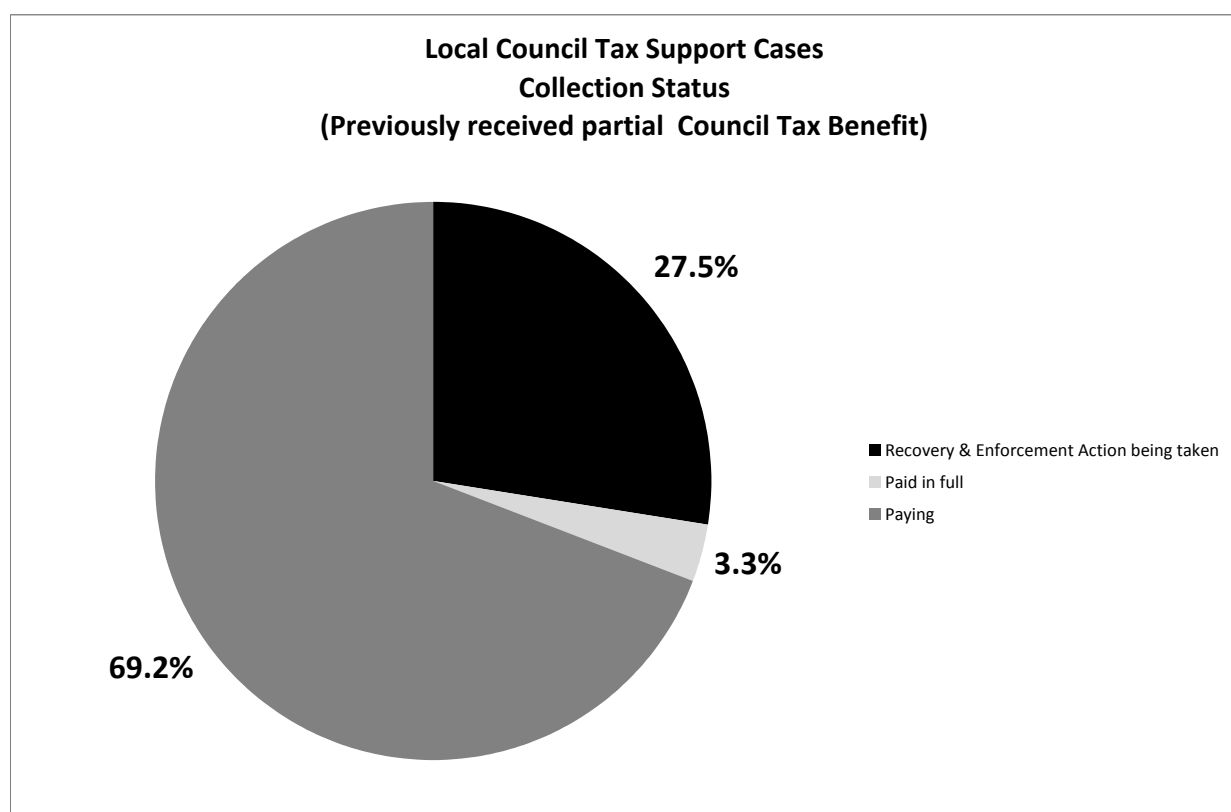
- 7.7 The overall Council Tax collection rate at 30th June 2014 was 27.73% compared to 28.08% for the same period last year, down slightly by 0.35%, as summarised in the graph below. This position largely reflects the ongoing impact of the Local Council Tax Support (LCTS) Scheme.



- 7.8 Of the 6,000 households affected by the Council's LCTS Scheme (that previously received full Council Tax Benefit), the chart below shows that 4.5% have paid their 2014/15 Council Tax in full and over half of households are paying regularly. This position reflects the Council's arrangements for making payment as convenient and flexible as possible. Over 2,600 Paypoint Cards have been issued to these households.
- 7.9 Recovery action is progressing against the remaining households who have not made arrangements to pay, and about 2,000 summonses will be issued early in Quarter 2.



- 7.10 Of the 2,485 working age households that were previously only entitled to partial Council Tax Benefit under the former system, the chart below shows that about 72% of these households have either paid or are paying.
- 7.11 The chart shows 28% (695) of these households are currently the subject of standard recovery procedures, including court action.

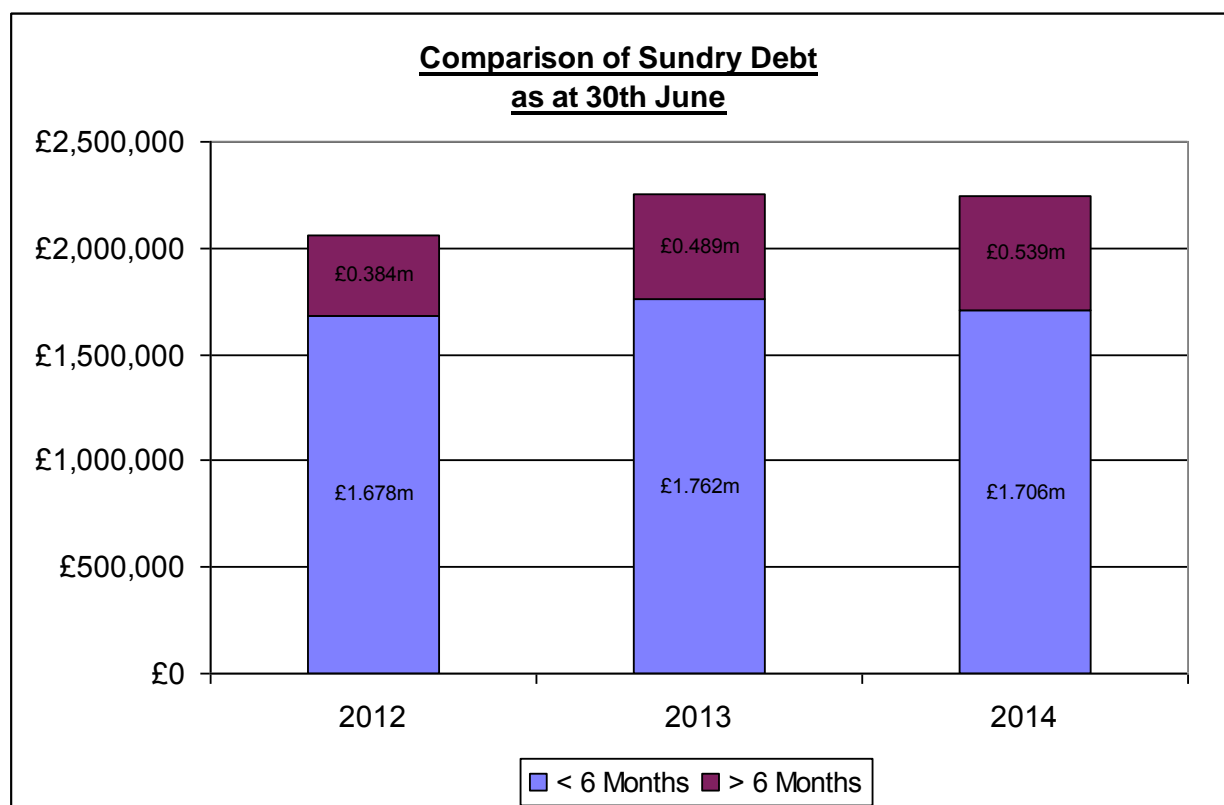


7.12 At the end of June collection of Council Tax from Local Council Tax Support (LCTS) households is within the financial planning parameters that underpin the 2014/15 LCTS scheme.

7.13 **Sundry Debts**

7.14 The Council also collects significant Sundry Debts income for the payment of services provided by the Council. In total £4.458m of sundry debts have been raised in Quarter 1. As at 30th June, £3.110m (70%) of this amount had been collected.

7.15 Robust procedures for collecting the remaining outstanding debt are in place. The following graph shows the comparable positions at 30th June for the last three years for long term debt and current debt which has been outstanding for less than six months: -



- 7.16 Debtors totalled £2.245m as at 30th June, of which £1.706m (75.99%) relates to current debts which are less than 6 months old. The remaining debtors total £0.539m; of this amount, 97.95% is under recovery action and 2.05% is unrecoverable and is pending write off (£0.011m).

8. Progress in achieving the Capital Receipts Target

- 8.1 The achievement of the capital receipts target continues to be extremely challenging and there remains a risk that this target takes longer to achieve than forecast, which would result in an unbudgeted pressure in 2015/16.
- 8.2 This issue is covered in detail in the 2014/15 to 2016/17 MTFS Report. As at 31st March 2014 a total of £2.2m has been achieved, leaving £4.3m of the £6.5m target to be achieved to fund forecast expenditure commitments. Owing to the different phasing of capital expenditure commitments and the phasing of capital receipts there was a temporary funding shortfall in 2013/14 of £1.128m. This was funded from Prudential Borrowing. The costs of using Prudential Borrowing can be accommodated within existing budgets.
- 8.3 It is currently anticipated that a further £2.9m of capital receipts will be achieved in 2014/15 towards the remaining target of £4.3m. However, the achievement of the additional receipts remains extremely challenging and there remains a risk that the required target is not achieved, or takes longer than anticipated to achieve. Achieving capital receipts will be conditional upon converting expressions of interest and tender submissions into contractual sales, which will be dependant on developers completing site investigations, there being no land contamination issues and the achievement of planning permission. This would

mean the resulting shortfall would need to be funded from Prudential Borrowing until the capital receipts target is achieved. This would result in an additional unfunded budget pressure. Regular updates will be reported during the year.

9. 2014/15 Capital Programme Monitoring

9.1 Capital Expenditure for all departments to the 30th June, 2014 is summarised in the table below.

Department	2014/15 Budget	2014/15 Actual to 30/06/14	2014/15 Remaining Expenditure	2015/16 Re-phased Expenditure	2014/15 Variance from budget Adverse/ (Favourable)
	£'000	£'000	£'000	£'000	£'000
Child & Adult Services	8,885	1,345	7,340	200	0
Public Health	339	0	339	0	0
Chief Executive	103	0	103	0	0
Corporate	1,692	17	1,675	0	0
Regeneration & Neighbourhoods	24,503	1,367	19,110	4,026	0
Total Capital Expenditure	35,522	2,729	28,567	4,226	0

9.2 The table above shows actual expenditure to 30th June 2014 of £2.729m compared to a budget of £35.522m leaving £28.567m to be spent in 2014/15. At this stage anticipated expenditure and resources of £4.226m will be re-phased into 2015/16. This primarily relates to the procurement of vehicles some of which have been deferred as a result of extending the useful life of existing vehicles before they are replaced in order to generate operational savings. A full review of the vehicle replacement programme is being undertaken to identify any possible future savings which can be included as part of the Council's savings programme. This will result in a revision to the budget shown and eliminate the estimated high value of rephased expenditure.

9.3 There is a longer lead in time for capital schemes and therefore it is not unusual for expenditure to be low at this stage of the year.

9.4 Detailed financial information on the capital programme for individual Departments by Committee is provided in Appendices F to J.

9.5 Council Capital Fund (CCF) Unallocated £94,000

9.6 The CCF exists to fund local capital priorities which cannot be funded from external capital funding. An annual programme of work is approved as part of the overall MTFS by Council, which reflects the prioritisation of schemes. The following issues have arisen since the 2014/15 CCF programme was approved and the following proposed revisions are recommended:

i)Hart Boundary Wall – Phase 2

During the completion of the Phase 1 works, further urgent works were identified. The works were considered a Health & Safety issue but at the time there was no funding in place and as a temporary measure the wall was fenced off. The cost of the phase 2 works will be in the region of £19,000 with Limestone Landscapes contributing £9,000. It is therefore recommended to fund £10,000 from the Unallocated CCF.

ii)Carlton Outdoor Centre - Re-roof Main Building

A scheme for £30,000 has been identified within the Council Capital Fund 2014/15 to re-roof the main building at Carlton Outdoor Centre. The budget was based on historical data. However further investigation and design development have identified a number of additional areas which need to be addressed concurrent with the renewal of the roof coverings, associated flashings and rainwater goods. The cost of this work approximately £59,000. It is therefore recommended to fund £29,000 from the Unallocated CCF.

- 9.6 On the basis of Members approving the above schemes the unallocated CCF monies is £55,000 to manage unforeseen risks.

10. CONCLUSIONS

- 10.1 The MTFs considered on the 30th June outlined the scale of the budget cuts required over the next 4 years (i.e. 2015/16 to 2018/19) and the continuing financial risks facing the Council, particularly in relation to Business Rates.
- 10.2 This report provides an initial outturn forecast for 2014/15. The uncommitted underspend is projected at the year end of between **£300,000 and £415,000**. It is anticipated that this funding will be available towards funding potential one-off protection costs arising from achieving permanent savings from the Terms and Conditions review, which would enable the full saving to be taken within the 2015/16 budget and to continue the use of one-off resources to support the budget and protect services beyond 2016/17 when the existing one-off funding of £1.648m will run out. This projection excludes one-off savings arising from Industrial Action on 10th July, 2014.
- 10.3 In relation to collection of Business Rates and Council Tax these issues are impacted by the significant changes implemented in April 2013 and the ongoing difficult economic climate. At the 30th June 2014 collection rates for the current year are slightly lower than the same period last year, as summarised below. Robust recovery action will continue to be pursued over the remainder of the financial year to maximise in-year collection rates.

	30.06.12	30.06.13	30.06.14
Business Rates Collected	30.47%	29.89%	29.19%
Council Tax Collected	28.53%	28.08%	27.73%

11. RECOMMENDATIONS

11.1 It is recommended that Members:

- i) Note the report;
- ii) Note that forecast resources of between £0.3m and £0.415m are anticipated and that this funding will be available towards funding potential one-off protection costs arising from achieving permanent savings from the Terms and Conditions review, which would enable the full saving to be taken within the 2015/16 budget and to continue the use of one-off resources to support the budget and protect services beyond 2016/17 when the existing one-off funding of £1.648m will run out. To also note that additional funding will be required for these issues and it is hoped this can be identified from the reserves review.
- iii) Approve the allocation of part of the unallocated CCF funding to fund the balance of costs in relation to Phase 2 of the Hart Boundary Wall capital scheme (£10,000) and the re-roofing of Carlton Outdoor Centre.

12. REASONS FOR RECOMMENDATIONS

To update the Finance and Policy Committee on the Council's financial position and to enable Members to make decisions as part of the overall budget process for 2014/15 later in the year.

13. BACKGROUND PAPERS

Medium Term Financial Strategy Report approved by Council on 4th February 2014.

14. CONTACT OFFICER

Chris Little
Chief Finance Officer
Chris.little@hartlepool.gov.uk
01429 523003

Budget	Description of Expenditure	June Projected Outturn Adverse/ (Favourable) Worst Case	June Projected Outturn Adverse/ (Favourable) Best Case	Comments
£'000		£'000	£'000	
30,405	Adult Committee - Core Services	(148)	(222)	The favourable variance mainly relates to underspends within various supplies and services budgets, increased grant income and incremental drift within pay budgets.
-	Adult Committee - Projected Deprivation of Liberty Safeguard (DoLS) Pressure	400	330	These are the unbudgeted costs of implementing the DoLS implications following the recent Supreme Court judgement.
-	Adult Committee - Use of Reserves to Partly Offset DoLS Pressure	(252)	(108)	The unbudgeted DoLS costs are forecast between £330k and £400k this financial year with Members approving a combination of departmental reserves and departmental outturn to fund these costs in 2014/15. This reflects the balance of the costs which are to be funded from departmental reserves.
30,405	Sub-Total Adult Committee	0	0	
19,772	Children's Committee	(375)	(375)	The favourable outturn variance relates to the underspend against the Local Welfare Support Grant. Council agreed as part of the MTFS approved on 4th February 2014 to transfer this to reserves to maintain the scheme until at least 2017/18.
50,177	Total Child & Adult	(375)	(375)	
1,296	Finance & Policy Committee	(105)	(105)	Includes a favourable variance of £80k on Logistics relating to increased external income generation. A favourable variance on NEPO rebates is expected of £25k and it is proposed to create a reserve to fund potential volatility in this area owing to changes in the volume of goods purchased via NEPO contracts in future years.
3,762	Regeneration Committee - Core Services	(5)	(20)	
0	Regeneration Committee - Social Housing	(240)	(240)	Favourable variance of £240k relates to the planned contribution to the Major Repairs Reserve on Social Housing as identified in the business case.
15,606	Neighbourhoods Committee	(105)	(105)	Adverse variance on Car Parking running costs £85k relating to rates and shopping centre service charges. Favourable variance of £65k on Passenger Transport relating to an underspend on demand led services and a surplus on the Trading activities. Favourable variance of £125k relating S38 income which reflects an underspend in previous years on costs associated with Developments for schemes completed.
20,664	Total Regeneration & Neighbourhoods	(455)	(470)	
4,225	Finance & Policy Committee	(105)	(155)	This favourable variance is mainly owing to vacant posts which are being held in advance of 2015/16 savings.
4,225	Total Chief Executive	(105)	(155)	
613	Finance & Policy Committee	(548)	(725)	The expected favourable variance is a result of a proposed increase on the school nursing contract not expected to come into fruition and reduced placements within substance misuse. Substance misuse supports vulnerable individuals and it is difficult to accurately forecast placement costs. The range highlighted reflects this. Also included within this favourable variance is a contingency amount £345k set aside to fund any potential outbreak of communicable disease. Should this be required the corresponding contribution to reserves below would be reduced.
575	Regeneration Committee	98	98	The Public Health Grant is ring-fenced and any underspend is to be reserved in line with the grant conditions. A corresponding creation of reserve is detailed below. The expected adverse variance relates to income pressures at the Borough Hall and Outdoor Markets as previously reported to Members.
1,188	Total Public Health	(450)	(627)	
76,254	Sub-Total Departmental Budgets	(1,385)	(1,627)	

Budget	Description of Expenditure	June Projected Outturn Adverse/ (Favourable) Worst Case	June Projected Outturn Adverse/ (Favourable) Best Case	Comments
£'000		£'000	£'000	
76,254	Sub-Total Brought Forward	(1,385)	(1,627)	
2,921	Property Running Costs	60	60	Worst case scenario reflects demand led and seasonal budget fluctuations.
7,222	Corporate Budgets	(600)	(650)	The favourable variance is owing to reduced capital financing costs.
10,143	Total Corporate	(540)	(590)	
86,397	Sub-Total Corporate & Departmental	(1,925)	(2,217)	
	Reserves Already Approved - Ring-fenced Grants	375	375	
	Additional Recommended Reserves - Ring-fenced Grants	548	725	
	Additional Recommended Reserves - Business Cases	240	240	
	Additional Recommended Reserves - Core Budget	215	215	
86,397	Net uncommitted forecast outturn	(547)	(662)	

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2014/15 as at 30th June, 2014

Overview:

Approved 2014/2015 Budget £'000	Description of Service Area	June		Director's Explanation of Variance
		Projected Outturn Variance - Adverse/ (Favourable) Worst Case £'000	Projected Outturn Variance - Adverse/ (Favourable) Best Case £'000	
Adult Committee				
0	Carers & Assistive Technology	33	33	
3,953	Commissioning & Adults General	(278)	(278)	This mainly relates to contract savings within Housing Related Support Services, underspends against various supplies and services budgets, increased grant income and vacant posts.
1,220	Commissioning-Mental Health	47	(27)	The range shown depends on the impact on budgets following the cessation of a third-party contract and subsequent transfer of resources to Direct Payments.
9,892	Commissioning-Older People	105	105	This mainly relates to increased demand for Older People services.
7,723	Commissioning-Working Age Adult	43	43	
186	Complaints & Public Information	0	0	
1,144	Departmental Running Costs	(37)	(37)	
1,101	Direct Care & Support Team	(28)	(28)	
376	LD & Transition Social Work	(15)	(15)	
1,828	Locality & Safeguarding Teams	(40)	(40)	This mainly relates to incremental drift within pay budgets and some vacant hours which are currently being filled.
634	Mental Health Services	(39)	(39)	
969	OT & Disability Equipment	87	87	This mainly relates to expenditure arising from increased demand for equipment from the Tees-wide OT contract.
176	Workforce Planning & Dev	(14)	(14)	
1,203	Working Age Adult Day Services	(12)	(12)	
30,405	Sub Total	(148)	(222)	
0	Deprivation of Liberty Standards (DoLS) - Pressure	400	330	These are the unbudgeted costs of implementing the Deprivation of Liberty Standards following the recent Supreme Court judgement.
0	Release of Departmental Reserve for DoLS	(252)	(108)	These unbudgeted costs are forecast between £330k and £400k this financial year with Members approving a combination of departmental reserves and departmental outturn to fund these costs in 2014/15. This reflects the balance of the costs which are to be funded from departmental reserves.
30,405	Adult Committee Sub Total	0	0	
Children's Committee				
12,114	Children & Families	375	252	Increasing demand and expenditure on means-tested allowances, direct payments and fostering allowances offset only partly by expected savings within Care Proceedings court costs, Agency Residential and Adoption services arising from the use of the Adoption Reform Grant.
4,848	Early Intervention Services	(413)	(538)	The projected outturn variance reflects the Local Welfare Support Scheme as well as underspends arising from vacant posts and underspends against various supplies and services budgets offset by some delayed 2014/15 staffing savings within youth provision.
10	Information, Sharing & Assessment	(10)	(10)	Early Achievement of 2015/16 savings.
(3)	Play & Care	28	28	
355	Youth Offending Service	(25)	(48)	The range reflects uncertainty at this stage of the year about the level of remand placement costs.
407	Youth Service	10	0	
122	Access to Education	9	9	Projected shortfall in income relating to Schools De-delegated Services
761	Central Support Services	0	0	
533	Other School Related Expenditure	(9)	(9)	Pension related savings are expected to be achieved in 14/15
350	Raising Educational Achievement	0	0	
221	Special Educational Needs	0	0	
54	Strategic Management	0	0	
19,772	Sub Total	(35)	(316)	
0	Release of Looked After Children Reserve for Looked After Children pressure	(340)	(59)	The Looked After Children reserve will be used as the 'balancing' figure to fund the net overspend within Children's Services. This strategy should assist in retaining the Looked After Children reserve for a longer period to manage Looked After Children pressures in future years.
19,772	Children's Committee Sub Total	(375)	(375)	This relates to the Local Welfare Support Scheme for which a reserve has been approved.
50,177	Child and Adult Total - (before Creation of Reserves)	(375)	(375)	
Creation of Reserves				
0	Children's - Local Welfare Support Grants	375	375	A reserve for this value will be created as agreed by F&P to use the balance of grant funding and the existing reserve to continue provision through to 2017/18.
50,177	Child & Adult Total - Net of Reserves	0	0	

PLANNED USE OF RESERVES

The above figures include the 2014/2015 approved budget along with the planned use of Departmental Reserves created in previous years.
 The details below provide a breakdown of these reserves

Approved 2014/2015 Budget £'000	Description of Service Area	Planned Usage 2014/2015 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
Adult Committee				
90	Demographic Pressures	0	(90)	Reserve to be retained as a contingency to fund any additional costs arising from increased demand and/or Deprivation of Liberty Standards pressure.
27	Supporting People	27	0	
6	Social Care Reform	6	0	
9	Reablement Funding	9	0	
125	Social Inclusion & Lifestyle pathways contract extension	125	0	
270	PCT Carers Funding	200	(70)	Balance of reserve to be retained to fund future years carers costs.
0	Deprivation of Liberty Safeguards (DoLS)	252	252	This is an unbudgeted pressure in 2014/15 (based on 'Worst' case scenario) and will be funded where possible from the departmental outturn with the balance funded from departmental reserves.
110	Winter Pressures	0	(110)	Reserve to be retained as a contingency to fund any additional costs arising from increased demand over the winter period.
637	Adult Committee Sub Total	619	(18)	
Children's Committee				
173	Schools Transformation Team	173	0	
10	Academy Risk Reserve	10	0	
18	Raising the Participation Age	18	0	
287	School Improvement	167	(120)	The Improvement Strategy was approved by Committee 8th July, £0.287m has been allocated over the next two financial years.
149	Adoption Reform Grant	149	0	
175	Children's Social Care & Early Intervention	167	(8)	
420	Looked After Children Reserve	340	(80)	This reflects latest (Worst Case) outturn projection for use of the LAC reserve to fund the net pressure within Children & Families.
1,232	Children's Committee Sub Total	1,024	(208)	

MEMO:-	Dedicated Schools Grant			
4,903	Early Years	4,903	0	
8,232	High Needs	8,232	0	
54,655	Schools	54,655	0	

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2014/15 as at 30th June, 2014

Overview:

Approved 2014/2015 Budget £'000	Description of Service Area	JUNE		Budget Holders Comments
		Projected Outturn Variance - Adverse/ (Favourable) Worst Case £'000	Projected Outturn Variance - Adverse/ (Favourable) Best Case £'000	
Finance & Policy Committee				
0	Adult Education	0	0	
1,280	Community Safety & Engagement	0	0	
730	Strategic Management, Admin & Service Development	0	0	
(98)	Logistics	(80)	(80)	A favourable variance is expected in this area relating to increased external income generation.
48	Procurement and Reprographics	(25)	(25)	Underspend relating to NEPO rebate income. It is proposed to create a reserve to fund potential pressures in this area following changes to the refund methodology.
	Property Management			
427	Estates & Asset Management	0	0	
(801)	Building Consultancy	0	0	
(1)	Facilities Management - Functions Catering	0	0	
111	Facilities Management - School Catering	0	0	
49	Facilities Management - Building Maintenance	0	0	
187	Facilities Management - Other	0	0	
644	Facilities Management - Building Cleaning	0	0	
1,296	Finance & Policy Committee Sub Total	(105)	(105)	
Regeneration Committee - Core Services				
22	Archaeology Services	0	0	
90	Community Centres	(5)	(5)	Variance relates to income generated which is slightly higher than predicted at this stage.
402	Cultural Services	10	(5)	An income risk reserve will be used to offset any shortfall on admissions income at the Hartlepool Maritime Experience. The worst case estimate reflects a possible shortfall on income associated with functions. A £10k favourable variance on Town Hall Theatre ticket income is also projected at this stage.
	Grants to Community & Voluntary Organisations			
1,187	Libraries	0	0	
0	Renaissance in Regions	0	0	
Approved 2014/2015 Budget £'000	Description of Service Area	Projected Outturn Variance - Adverse/ (Favourable) Worst Case £'000	Projected Outturn Variance - Adverse/ (Favourable) Best Case £'000	Budget Holders Comments
Regeneration Committee - Core Services (continued)				
(25)	Building Control	70	20	Projections reflect the volatile nature of external income in this area. Any variance is expected to be covered by the Income Shortfall Reserve in 2014/15 (see Reserves below).
0	Building Control - release of Corporate Income Shortfall Reserve as per the MTFS	(70)	(20)	Release of Reserve (see above).
380	Planning Services	100	0	Projections reflect the volatile nature of external income in this area as a large proportion of the income is dependant on fees from large schemes. Best case estimate is that we will achieve the budgeted level of income however if some larger scale developments do not complete in 2014/15 there could be an adverse variance at year end. Any variance is expected to be covered by the Income Shortfall Reserve in 2014/15 (see Reserves below).
0	Planning - release of Corporate Income Shortfall Reserve as per the MTFS	(100)	0	Release of Reserve (see above).
638	Housing Services	0	0	
85	CADCAM	(10)	(10)	Underspend projected on the final charge for Aurora Court.
948	Economic Regeneration	0	0	
35	Economic Regeneration - External Funding	0	0	
3,762	Regeneration Committee - Core Services Sub Total	(5)	(20)	
Regeneration Committee - Social Housing				
0	Social Housing	(240)	(240)	This variance will be transferred into the Major Repairs Reserve in line with the approved Business model for this scheme to fund the cost of future Repairs and Maintenance on the housing stock.
0	Regeneration Committee - Social Housing Sub Total	(240)	(240)	

Approved 2014/2015 Budget £'000	Description of Service Area	Projected Outturn Variance - Adverse/ (Favourable) Worst Case £'000	Projected Outturn Variance - Adverse/ (Favourable) Best Case £'000	Budget Holders Comments
Neighbourhood Committee				
(72)	Cemetery and Crematoria	0	0	
409	Parks & Countryside	0	0	
32	Allotments	0	0	
(627)	Car Parking	85	85	The variance relates to an overspend on the running costs associated with Car Parks. The cost of Rates and the Shopping Centre Service charge have both increased and work is ongoing to find savings to offset this pressure in 2015/16.
445	Engineering Services	0	0	
1,858	Grounds Maintenance	0	0	
1,939	Highway Maintenance and Insurance	0	0	
(238)	Highways Trading	0	0	
510	Highways Traffic & Transport Management	0	0	
1,417	ITU Passenger Transport	(65)	(65)	The favourable variance relates to an underspend on the demand led service of Home to School Transport along with a surplus generated on the Passenger Transport Trading Account.
213	ITU Road Safety	0	0	
(50)	ITU Strategic Management	0	0	
(33)	ITU Vehicle Fleet	0	0	
(2)	NDORS (National Driver Offender Rehabilitation Scheme)	0	0	
1,215	Network Infrastructure	0	0	
0	Section 38's	(125)	(125)	The favourable variance relates to the balance remaining on S38 contributions received from developers. This income funds the cost of materials testing and professional advice necessary on all new developments, over the lifetime of the development. This is the balance available in 2014/15 after all known schemes have been
0	Traffic Management	0	0	
2,307	Sustainable Transport	0	0	
Approved 2014/2015 Budget £'000				
Neighbourhood Committee				
1,754	Street Cleansing	0	0	
4,529	Waste & Environmental Services	0	0	
15,606	Neighbourhood Committee Sub Total	(105)	(105)	
20,664	R & N Total before reserves	(455)	(470)	

Creation of Reserves

0	Social Housing - Creation of Reserve	240	240	Contribution to the Major Repairs Fund in line with the approved business model for the Empty Homes Project.
0	CCTV Relocation Reserve	190	190	One-off funding required to fund the relocation of the CCTV service following the closure of Greenbank as per the F&P Report 18.8.14.
0	NEPO Rebates Reserve	25	25	Reserve created to manage the risk that income from NEPO rebates will reduce in future years following the introduction of a new recharge methodology.
20,664	Regeneration and Neighbourhoods Total - Net of Reserves	0	(15)	

PLANNED USE OF RESERVES

The above figures include the 2014/2015 approved budget along with the planned use of Departmental Reserves created in previous years. The details below provide a breakdown of these reserves

Approved 2014/2015 Budget £'000	Description of Service Area	Planned Usage 2014/2015 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
Finance & Policy Committee				
40	Fleet	40	0	
34	Community Pool	34	0	
30	Civic Lottery	30	0	
89	Community Safety	100	11	
Regeneration Committee				
30	Digital City	30	0	
163	Seaside Grant	163	0	
0	Baden Street	19	19	
0	High Street Innovation Fund	10	10	
19	Furniture	19	0	
22	Archaeology Projects	22	0	
84	Selective Licensing	84	0	
0	Housing Public Health	21	21	
65	Business Grants	65	0	
67	Economic Regeneration Schemes	67	0	
4	Ward Profiles/Rural Plan	4	0	
Neighbourhood Committee				
100	Engineering Consultancy	0	(100)	Reserve created to manage trading activities over more than one year and earmarked to fund potential income shortfalls in future years. Early indications are that it will not be required in the current year.
0	Speed Cameras	16	16	
25	Bikeability	25	0	
772	Total	749	(23)	

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2014/15 as at 30th June, 2014

Overview:

Approved 2014/2015 Budget	Description of Service Area	JUNE		Director's Explanation of Variance
		Projected Outturn Variance - Adverse/ (Favourable) Worst Case	Projected Outturn Variance - Adverse/ (Favourable) Best Case	
£'000		£'000	£'000	
Finance and Policy Committee				
(533)	Benefits	0	0	
(1,499)	Central Administration Recharges	0	0	
1,059	Corporate Finance	(20)	(20)	
731	Corporate Strategy & Public Consultation	(20)	(20)	The favourable variance is owing to reduced working hours and maternity leave, along with some supplies and services savings.
32	Housing Benefits Subsidy	0	(50)	The Housing Benefit budget generates £47 million in subsidy, the outturn projection has been based on original estimates to the DWP, THE outturn projection will be updated if any changes come from the Mid Year Review to the DWP.
188	Democratic	0	0	
97	Fraud	0	0	
961	Hartlepool Connect	(70)	(70)	The favourable variance is owing to vacant posts and savings on pension provision, as a large number across the section are not in the pension scheme. There is also a saving on Apprenticeship salaries within the Support Services Team
526	Human Resources & Health and Safety	(20)	(20)	The favourable variance is owing to additional income from the Health and Safety Section.
228	Internal Audit	(15)	(15)	The favourable variance is owing to reduced working hours and additional income from Academies.
466	Legal Services	0	0	
189	Municipal Elections and Registration of Electors	0	0	
(76)	Other Office Services	20	20	The adverse variance is owing to ongoing shortfall on Land Charges income.
81	Public Relations	0	0	
(102)	Registration Services	0	0	
842	Revenues	10	10	The adverse variance relates to reduced income owing to a national fee structure for enforcement agents applied from April 2014 . This will be reviewed during the year to see if this has any ongoing impact on the income budget.
(178)	Revenue & Benefits Central	(45)	(45)	The favourable variance is owing to additional income from Court Cost, this has been offset by some additional Legal Fees incurred.
88	Scrutiny	0	0	
657	Shared Services	35	35	The adverse variance is owing to the need to cover current staff shortages from 2 long term sickness absences and 1 vacant post, together with an increase in workload, specifically pensions, payroll & recovery related work.
115	Support to Members	10	10	The adverse variance is owing to additional costs related to the Civic Honours Ceremony.
18	Training & Equality	0	0	
335	Corporate Management Running Expenses	10	10	The adverse variance is owing to a shortfall on the Trade Union budget.
4,225	Finance and Policy Total (Before Creation of Reserves)	(105)	(155)	
Creation of Reserves				
4,225	Chief Executives Total - Net of Reserves	(105)	(155)	

PLANNED USE OF RESERVES

The above figures include the 2014/2015 approved budget along with the planned use of Departmental Reserves created in previous years.
The details below provide a breakdown of these reserves

Approved 2014/2015 Budget £'000	Description of Service Area	Planned Usage 2014/2015 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
Finance and Policy Committee				
72	Corporate Strategy - ICT System Development	37	(35)	Transition cost in relation to technology to be split over two financial years.
6	Corporate Strategy - Performance Management	6	0	
8	Corporate Strategy - Corporate Consultation	0	(8)	
10	Contact Centre	0	(10)	
0	Registrars	21	21	Redecoration/chairs for Ceremony Room.
18	Resource Investment - HR	18	0	
0	Legal	36	36	This reserve is to fund temporary staffing arrangements.
0	Registration and Members	2	2	
28	Finance - IT Investment	20	(8)	
0	Finance - IT Investment Shared Services	30	30	This reserve is to fund system development work in Shared Services.
20	Finance R & B	10	(10)	
16	Finance - IT Developments R&B	16	0	
3	Finance R & B - FSM System	1	(2)	
20	Finance R & B - Benefits/Atlas	0	(20)	
10	Finance R & B - Corporate Booking System	10	0	
10	Finance R & B - Software Projects	10	0	
38	Corporate - Social Inclusion	0	(38)	
86	Chief Executive's Department Ring Fenced Grants	86	0	
345	Total	303	(42)	

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2014/15 as at 30th June, 2014

Overview:

Approved 2014/2015 Budget £'000	Description of Service Area	JUNE		Director's Explanation of Variance
		Projected Outturn Variance - Adverse/ (Favourable) Worst Case £'000	Projected Outturn Variance - Adverse/ (Favourable) Best Case £'000	
Finance and Policy Committee				
Public Health Grant				
806	Children's Public Health	(100)	(100)	School nursing service review underway. Risk share pressure across Stockton and Hartlepool of £100k expected to be negated by reduction in contract specification.
50	Health Protection	0	0	
1,338	Miscellaneous Public Health Services	(345)	(345)	Current expected outturn variance reflects a contingency element of grant unallocated to allow for potential communicable disease outbreak.
128	NHS Health Check Programme	0	(12)	
266	Obesity	0	0	
170	Physical Activity	0	0	
816	Prescribing	0	(30)	
741	Public Health Advice	(8)	(8)	
722	Sexual Health	0	0	
496	Smoking & Tobacco	(40)	(40)	
2,953	Substance Misuse	(55)	(190)	The current expected underspend in this area relates mainly to a reduction in placements expected or completed. There is a small amount in relation to a staffing vacancy. The range of outturn expectations relate to the volatile and sometimes uncontrollable nature of vulnerable adults supported by this area.
(8,486)	Public Health Grant	0	0	
0	Public Health Grant Subtotal	(548)	(725)	The Public Health Grant is ringfenced and any underspend moved to reserves - see below.
Public Health General Fund				
613	Consumer Services	0	0	
613	Public Health General Fund Subtotal	0	0	
613	Finance and Policy Sub Total	(548)	(725)	
Regeneration Committee				
Public Health General Fund				
2	Environmental Protection	0	0	
(87)	Environmental Standards	50	50	Expected outturn variance relates to income pressures on Outdoor Markets.
660	Sports & Recreation Facilities	48	48	Expected outturn variance mainly relates to income pressures at Borough Hall.
575	Public Health General Fund Subtotal	98	98	
575	Regeneration Sub Total	98	98	
1,188	Public Health Total - before Reserves	(450)	(627)	
Creation of Reserves				
Finance and Policy Committee				
0	Public Health Ringfenced Grant	548	725	The Public Health Grant is ringfenced and any underspend is to be moved to reserves in line with the grant conditions.
1,188	Public Health Total - Net of Reserves	98	98	

CHILD AND ADULT SERVICES

APPENDIX F

CAPITAL MONITORING REPORT PERIOD ENDING 30th JUNE 2014

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2014/15 COMMENTS
		B	C	D	E	F	G	H	
		2014/15 Budget £'000	2014/15 Actual as at 30/06/14 £'000	2014/15 Expenditure Remaining £'000	Expenditure Rephased 2015/16 £'000	C+D+E 2014/15 Total Expenditure £'000	F-B 2014/15 Variance from budget £'000	Type of financing	
Adult Committee									
7234	Chronically Sick and Disabled Persons Adaptations	320	5	115	200	320	0	MIX	Funding rephased to support future year's expenditure.
8075	Short Break Capital Grants Pool	21	0	21	0	21	0	MIX	
8312	Social Care Transformation Capital Grant	666	0	666	0	666	0	GRANT	
NEW	Havelock Centre for Independent Living	199	0	199	0	199	0	MIX	
Adult Committee Sub Total		1,206	5	1,001	200	1,206	0		
Children's Committee									
7042	Primary Capital Programme	20	20	0	0	20	0	RCCO	
7469	Children's Centre's Capital	41	0	40	0	40	(1)	MIX	£1k Funding to be transferred to Miers Avenue roofing scheme.
7521	2 year old Free Nursery Entitlement Capacity Building	104	0	104	0	104	0	GRANT	
8072	Integrated Children's Services Case Management Improvement	37	0	37	0	37	0	MIX	
8139	BSF ICT Infrastructure Costs	132	0	132	0	132	0	GRANT	
8176	Barnard Grove School - Replace Bungalow Floor	1	1	0	0	1	0	RCCO	
8202	Replace Classroom Annex	470	470	0	0	470	0	RCCO	
8218	Youth Service Portable Multi-Use Games Area (Youth Capital Fund)	7	0	7	0	7	0	GRANT	
8282	Exmoor Grove Redevelopment / Change of Use	46	29	17	0	46	0	MIX	
8455	West Park School - Fire Detection System	92	28	64	0	92	0	GRANT	
8459	Kingsley School - Replace & Upgrade Playground Surface	40	37	3	0	40	0	MIX	
8523	High Tunstall School - Heating Distribution / Boiler	68	19	49	0	68	0	GRANT	
8526	West Park School - Heating / Hot & Cold Water Distribution	26	0	26	0	26	0	GRANT	
8528	West View School - Roofing (Phase 1)	142	3	139	0	142	0	MIX	
8561	Barnard Grove School - Replace Windows/Doors&Cladding	20	20	0	0	20	0	RCCO	
8562	Manor College - Roof Renewal Block A	75	75	0	0	75	0	RCCO	
8593	13/14 Window Replacement	12	12	0	0	12	0	RCCO	
8595	Miers Avenue Roofing Works	0	1	0	0	1	1	RCCO	Scheme complete, slight overspend funded from Children's Centre Capital 7469
8599	High Tunstall School - 13/14 Changing Rooms Refurb	1	1	0	0	1	0	RCCO	
8653	Early Years Fund Stage Improvements	1	1	0	0	1	0	RCCO	
8695	Barnard Grove School - New School	95	0	95	0	95	0	RCCO	
8713	Rift House School - Special Education Needs Adaptations	20	0	20	0	20	0	MIX	
8714	Rift House Primary Roof	1	1	0	0	1	0	RCCO	
8715	Roofing Block A and L	1	1	0	0	1	0	RCCO	
8716	Window Replacement Block A	2	2	0	0	2	0	RCCO	
8717	High Tunstall School - Electrical - Distribution Boards	34	10	24	0	34	0	MIX	
8718	High Tunstall School - Roofing - Area of Block A Phased	65	1	64	0	65	0	RCCO	
8719	High Tunstall School - Roofing - Block L	118	2	116	0	118	0	MIX	
8720	C Centre Roofing Block A	1	1	0	0	1	0	RCCO	
8723	West Park Window Replace	59	59	0	0	59	0	RCCO	
8724	West View Boiler Replacement A	58	58	0	0	58	0	RCCO	

CHILD AND ADULT SERVICES

APPENDIX F

CAPITAL MONITORING REPORT PERIOD ENDING 30th JUNE 2014

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2014/15 COMMENTS
		B	C	D	E	F	G	H	
		2014/15 Budget £'000	2014/15 Actual as at 30/06/14 £'000	2014/15 Expenditure Remaining £'000	Expenditure Rephased 2015/16 £'000	C+D+E 2014/15 Total Expenditure £'000	F-B 2014/15 Variance from budget £'000	Type of financing	
8726	Throston Primary Window	51	51	0	0	51	0	RCCO	
8727	Electrical Rewire	235	1	234	0	235	0	MIX	
8728	Lynnfield Primary Window	0	0	0	0	0	0	RCCO	
8730	Greatham Roofing	1	1	0	0	1	0	RCCO	
8732	Clavering Roofing Block	1	1	0	0	1	0	RCCO	
8734	Golden Flatts Roofing B	1	1	0	0	1	0	RCCO	
8735	Cloak/Wash Hand Basin Replacement	42	35	7	0	42	0	MIX	
7136	Early Years Foundation Stage Improvements	185	0	185	0	185	0	MIX	
7384	Devolved Schools Capital	480	0	480	0	480	0	MIX	
7421	Local Transport Plan - School Travel Plans	23	0	23	0	23	0	MIX	
7586	City Learning Centre Standards Fund	4	0	4	0	4	0	GRANT	
8138	Building Schools for the Future - ICT	2,414	255	2,159	0	2,414	0	MIX	
8593	West Park - Window Replacement	95	42	53	0	95	0	MIX	
8593	Lynnfield School - Window Replacement - Block A	54	0	54	0	54	0	MIX	
8593	Throston School - Window Replacement - Block A	64	0	64	0	64	0	MIX	
8593	High Tunstall School - Window Replacement - Block A	156	0	156	0	156	0	RCCO	
8594	Golden Flatts School - Boiler Replacement	25	0	25	0	25	0	MIX	
8594	West View School - Boiler Replacement - Block A	64	0	64	0	64	0	RCCO	
8595	High Tunstall School - Roofing - Block A	80	0	80	0	80	0	MIX	
8595	Clavering School - Roofing - Block A	84	0	84	0	84	0	MIX	
8595	Greatham School - Roofing	94	0	94	0	94	0	MIX	
8595	Hart School - Roofing - Block A	8	0	8	0	8	0	MIX	
8595	Rift House School - Roofing - Block A	213	0	213	0	213	0	MIX	
8595	Rift House Children's Centre - Roofing	51	0	51	0	51	0	MIX	
8596	Throston School - Electrical Works	73	0	73	0	73	0	MIX	
8597	Golden Flatts School - Roofing Replacement	65	0	65	0	65	0	MIX	
8598	High Tunstall School - Heating Distribution - Block G	85	65	20	0	85	0	GRANT	
8601	Rossmere School - Toilet Replacement	30	8	22	0	30	0	RCCO	
8602	Clavering School - Fire Detection System	25	28	(3)	0	25	0	GRANT	
9004	Modernisation, Access, RCCO unallocated	157	0	157	0	157	0	GRANT	
9004	RCCO Earmarked for Asbestos Surveys	60	0	60	0	60	0	RCCO	
NEW	Forest School	345	0	345	0	345	0	RCCO	
NEW	Holy Trinity - Contribution to New School	60	0	60	0	60	0	RCCO	
NEW	Universal Free School Meals	160	0	160	0	160	0	GRANT	
NEW	Contingency	200	0	200	0	200	0	MIX	
NEW	Condensation mitigation works	15	0	15	0	15	0	MIX	
TBC	Primary Schools Programme	190	0	190	0	190	0	RCCO	
Children's Committee Sub Total		7,679	1,340	6,339	0	7,679	0		
Child & Adult Services Total		8,885	1,345	7,340	200	8,885	0		

Key

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

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

PUBLIC HEALTH

APPENDIX G

CAPITAL MONITORING REPORT PERIOD ENDING 30th JUNE 2014

Project Code	A	EXPENDITURE IN CURRENT YEAR							2014/15 COMMENTS
		B	C	D	E	F	G	H	
	Scheme Title	2014/15 Budget £'000	2014/15 Actual as at 30/06/14 £'000	2014/15 Expenditure Remaining £'000	Expenditure Rephased 2015/16 £'000	C+D+E 2014/15 Total Expenditure £'000	F-B 2014/15 Variance from budget £'000	Type of financing	
Finance & Policy Committee									
8284	Whitby Street Accommodation	2	0	2	0	2	0	GRANT	New scheme funded by Public Health England to improve drug and alcohol provision within Hartlepool.
NEW	Drug & Alcohol Recovery Centre	200	0	200	0	200	0	GRANT	
Finance & Policy Committee Sub Total		202	0	202	0	202	0		
Regeneration Committee									
8103	Swimming Scheme	61	0	61	0	61	0	MIX	
8408	Mill House - Equipment Purchase	6	0	6	0	6	0	MIX	
8409	Sport & Youth Improvements	70	0	70	0	70	0	MIX	
Regeneration Committee Sub Total		137	0	137	0	137	0		
Public Health Services Total		339	0	339	0	339	0		

Key

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

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

CHIEF EXECUTIVES

APPENDIX H

CAPITAL MONITORING REPORT PERIOD ENDING 30th JUNE 2014

Project Code	A	EXPENDITURE IN CURRENT YEAR							2014/15 COMMENTS
		B	C	D	E	F	G	H	
	Scheme Title	2014/15 Budget £'000	2014/15 Actual as at 30/06/14 £'000	2014/15 Expenditure Remaining £'000	Expenditure Rephased 2015/16 £'000	C+D+E 2014/15 Total Expenditure £'000	F-B 2014/15 Variance from budget £'000	Type of financing	
Finance & Policy Committee						0	0		
7623	Corporate IT Projects	20	0	20	0	20	0	MIX	
8143	New Burdens - Council Tax	10	0	10	0	10	0	MIX	
8157	Northgate - New Server	4	0	4	0	4	0	MIX	
	Corporate Projects	69	0	69	0	69	0	MIX	
	TOTAL	103	0	103	0	103	0		

Key

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

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

CORPORATE

APPENDIX I

CAPITAL MONITORING REPORT PERIOD ENDING 30th JUNE 2014

	A	EXPENDITURE IN CURRENT YEAR							2014/15 COMMENTS
Project Code	Scheme Title	B	C	D	E	F	G	H	
		2014/15 Budget	2014/15 Actual as at 30/06/14	2014/15 Expenditure Remaining	Expenditure Rephased into 2015/16	C+D+E 2014/15 Total Expenditure	F-B 2014/15 Variance from budget	Type of financing	
		£'000	£'000	£'000	£'000	£'000	£'000		
Finance & Policy Committee									
	7036	Unallocated Council Capital Fund	94	0	94	0	94	0	UCPB
	7041	Corporate Planned Maintenance Unallocated	34	0	34	0	34	0	MIX
	7200	Civic Centre Refurbishment	244	0	244	0	244	0	MIX
	8142	School Kitchen Upgrades	218	0	218	0	218	0	RCCO
	8171	Corporate Planned Maintenance - Footpath Repair - Grayfields	16	0	16	0	16	0	MIX
	8406	Throston Disability Discrimination Act - Toilets	1	0	1	0	1	0	UCPB
	8442	Disability Discrimination Act Works	37	0	37	0	37	0	MIX
	8451	Civic Centre Heating Works	8	0	8	0	8	0	RCCO
	8552	Multi Storey Car Park Electrical Works	48	17	31	0	48	0	RCCO
	8557	Historic Quay Replace Floor Track Lighting	31	0	31	0	31	0	RCCO
	8657	Brinkburn Youth Centre Boiler	5	0	5	0	5	0	RCCO
	8658	Historic Quay Office Suite Boiler	5	0	5	0	5	0	RCCO
	8684	Lynn Street Depot Fleet and Garage Roof	23	0	23	0	23	0	RCCO
	8685	Grayfields Boiler Plant Renewal	13	0	13	0	13	0	RCCO
	8711	Carlton Centre Re-Roof Main Building	30	0	30	0	30	0	RCCO
	new	Indoor Bowls Centre Refurbishment	190	0	190	0	190	0	RCCO
	new	Asbestos Re-Surveys	50	0	50	0	50	0	RCCO
	new	Lynn Street Depot Replace Doors to Vehicle Shed	30	0	30	0	30	0	RCCO
	new	Christ Church Boiler Replacement	80	0	80	0	80	0	RCCO
	new	Exmoor Grove Disability Discrimination Act	10	0	10	0	10	0	RCCO
	new	Newburn Bridge Roofing and Door Replacement	30	0	30	0	30	0	RCCO
	new	Brougham Enterprise Centre Boiler Replacement	120	0	120	0	120	0	RCCO
	new	Brougham Enterprise Centre ICT System Replacement	70	0	70	0	70	0	RCCO
	new	Town Hall Theatre Stage Lighting Controls	50	0	50	0	50	0	RCCO
	new	Borough Hall - Kitchen Upgrade	50	0	50	0	50	0	RCCO
	new	Borough Hall - wet rot	5	0	5	0	5	0	RCCO
	new	Central Library - Roofing and Guttering	30	0	30	0	30	0	RCCO
	new	Central Library - External Redecoration	20	0	20	0	20	0	RCCO
	new	Borough Hall - External Redecoration	50	0	50	0	50	0	RCCO
	new	Town Hall - External Redecoration	30	0	30	0	30	0	RCCO
	new	Energy - Invest to Save	20	0	20	0	20	0	RCCO
	new	Asbestos Re-Surveys - Phase 2	50	0	50	0	50	0	RCCO
		TOTAL	1,692	17	1,675	0	1,692	0	

Key

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

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

REGENERATION & NEIGHBOURHOOD SERVICES

APPENDIX J

CAPITAL MONITORING REPORT PERIOD ENDING 30th JUNE 2014

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2014/15 COMMENTS
			C	D	E	F	G	H	
		2014/15 Budget £'000	2014/15 Actual as at 30/06/14 £'000	2014/15 Expenditure Remaining £'000	Expenditure Rephased into 2015/16 £'000	C+D+E 2014/15 Total Expenditure £'000	F-B 2014/15 Variance from budget £'000	Type of financing	
Finance & Policy Committee									
7466	Fleet Vehicle Purchases	4,932	157	2,000	2,775	4,932	0	UDPB	The Fleet Service has been successful in driving down costs by extending the operational life of vehicles and consequently deferring vehicle replacements where it is cost effective. A full review of the vehicle replacement programme is being undertaken to identify any possible future savings which can be included as part of the Council's savings programme. This will result in a revision to the budget shown and eliminate the estimated high value of rephased expenditure.
7878	Community Safety CCTV Upgrade	108	0	108	0	108	0	MIX	This budget is being considered as part of a review of the CCTV Monitoring Centre and report of the options will be presented to Members.
8306	School Catering Equipment	155	0	155	0	155	0	UDPB	
8425	PV Cells	206	0	206	0	206	0	MIX	Work in the remaining sites, including Church Street and the Civic Centre was rephased as a result of planning issues and a review of Council property. Since the original scheme was approved there have been changes to subsidy and Feed In Tariff arrangements, which will be reviewed before progressing with outstanding sites.
8709	WW1 Anniversary Memorial	2	1	1	0	2	0	MIX	
Finance & Policy Committee Sub Total		5,403	158	2,470	2,775	5,403	0		
Regeneration Committee									
7218	Disabled Facility Grants	738	31	707	0	738	0	MIX	
7220	Private Sector Housing Grants	56	11	45	0	56	0	MIX	
7895	Industrial & Commercial Grants to Businesses	40	16	24	0	40	0	GRANT	
7897/9008	Church Street/Hartlepool Vision	505	0	200	305	505	0	MIX	The budget shown is intended to cover expenditure over the next two years. Expenditure expected in the current year includes the cost of the Consultancy Study and some early projects.
8106	Social Housing New Build - Residual Costs	7	0	0	7	7	0	UDPB	
8155	Preventing Repossession	25	0	25	0	25	0	GRANT	
8210	Key Vacant Buildings Grant Scheme	38	25	13	0	38	0	GRANT	
8326	Baden Street Project	77	0	77	0	77	0	MIX	Work is underway on 3 properties, with the possibility of 2 additional properties being added which will result in the full budget being spent.
8417	Community Spaces Grant - North Cemetery	1	0	1	0	1	0	MIX	
8446	Empty Property Purchasing Scheme	3,261	223	3,038	0	3,261	0	MIX	Expenditure remaining is based on the full completion of all 100 properties within budget which is currently on target. The proposed Phase 2 expansion of the scheme with a further 67 properties is being presented to Council in August for approval.
8536	Theatre Booking System	1	0	1	0	1	0	MIX	
8578	South Management Unit Study	47	2	45	0	47	0	GRANT	
8580	Hartlepool Enterprise Centre Building Improvements	52	7	45	0	52	0	GRANT	
8589	Headland Structures Coastal Defence	40	6	34	0	40	0	UCPB	
HMR	North Central Hartlepool Housing Regeneration	986	23	963	0	986	0	MIX	
Regeneration Committee Sub Total		5,874	344	5,218	312	5,874	0		
Neighbourhoods Committee									
TVBNI	Tees Valley Bus Network Improvement Schemes	1,433	158	1,275	0	1,433	0	GRANT	
7084	Safety Camera Partnership	4	0	4	0	4	0	GRANT	
7272	Wheelie Bin Purchase	60	4	56	0	60	0	UDPB	
7375	Countryside Development Work	14	0	14	0	14	0	UDPB	
7382	Greatham Play Area Equipment	9	0	0	9	9	0	CORP RES	
7508	Anhydrite Mine	107	0	0	107	107	0	CORP RES	The rephased element relates to monitoring to be carried out in future years.
7530	Section 106 Fund - To be Allocated	425	0	322	103	425	0	GRANT	The level of expenditure for the current year is under review and will be reported to a future Finance and Policy meeting. The amount shown here is a provisional estimate based on known commitments, with the balance to be rephased.
7651	Burn Valley Beck	40	0	40	0	40	0	MIX	
7821	Household Waste Recvcling Centre Improvements	22	0	22	0	22	0	UDPB	

REGENERATION & NEIGHBOURHOOD SERVICES

APPENDIX J

CAPITAL MONITORING REPORT PERIOD ENDING 30th JUNE 2014

Project Code	A Scheme Title	EXPENDITURE IN CURRENT YEAR							2014/15 COMMENTS
			C	D	E	F	G	H	
		2014/15 Budget £'000	2014/15 Actual as at 30/06/14 £'000	2014/15 Expenditure Remaining £'000	Expenditure Rephased into 2015/16 £'000	C+D+E 2014/15 Total Expenditure £'000	F-B 2014/15 Variance from budget £'000	Type of financing	
7852	TESCO Section 106 Highways Works	216	0	0	216	216	0	GRANT	The proposed use of this funding is under review and has been shown as rephased until this is confirmed.
7990	Bandstand Shutters	4	0	0	4	4	0	MIX	
8121	Re-Development	1	0	1	0	1	0	CORP RES	
8123	Review of Strategy Study North Sands to Newburn Bridge	17	9	8	0	17	0	GRANT	
8299	Playgrounds	65	0	65	0	65	0	GRANT	
8394	Library Improvements	55	3	52	0	55	0	MIX	
8444	Town Wall Strengthening	931	213	718	0	931	0	GRANT	
8445	Seaton Carew Coast Protection	409	163	246	0	409	0	GRANT	
8575	Padstow Close Flood Resilience Measures	4	1	3	0	4	0	GRANT	
8581	Briarfield Allotments Track Replacement	3	0	3	0	3	0	GRANT	
8583	Brierton Allotment Fence	6	0	6	0	6	0	UDPB	
8584	Chester Road Allotment Fence	11	0	11	0	11	0	UDPB	
8585	Nicholson Field Allotment Improvements	73	0	73	0	73	0	UDPB	
8591	Coastal Management Strategy Crimdon/Newburn Bridge	500	0	0	500	500	0	UDPB	To be used as match funding for the Headland Sea Wall scheme in 2015/16.
8644	Road Safety Equipment	15	0	15	0	15	0	GRANT	
8703	Morrison Hall Loan to New Deals for Communities Trust	450	0	450	0	450	0	UDPB	
8704	Haswell Av Allotments - Security Fencing	17	0	17	0	17	0	UDPB	
8706	Stranton Allotments - Car park	52	0	52	0	52	0	UDPB	
8707	Brierton Site - Macauley Rd Parking	143	0	143	0	143	0	CORP RES	
Brie	Brierton Site Development	817	179	638	0	817	0	MIX	
LTP	Local Transport Plan - Highways Capital Maintenance Schemes	1,929	72	1,857	0	1,929	0	GRANT	
8696	Street Lighting Replacement	4,980	17	4,963	0	4,980	0	GRANT	
ST	Stranton Cremators & Tanfield	238	46	192	0	238	0	MIX	
8648	Safety Camera Partnership	20	0	20	0	20	0	RCCO	
8705	Nicolson Field Allotments - Security Improvements	125	0	125	0	125	0	UDPB	
7531	Adult Education - Office Accommodation	20	0	20	0	20	0	CORP RES	
8429	Adult Education - Replace IT Equipment	11	0	11	0	11	0	CORP RES	
	Neighbourhoods Committee Sub Total	13,226	865	11,422	939	13,226	0		
	Regeneration & Neighbourhoods Total	24,503	1,367	19,110	4,026	24,503	0		

Key		
RCCO	Revenue Contribution towards Capital	Grant Funded
MIX	Combination of Funding Types	Capital Receipt
UCPB	Unsupported Corporate Prudential Borrowing	Unsupported Departmental Prudential Borrowing
SCE	Supported Capital Expenditure (Revenue)	Supported Prudential Borrowing

FINANCE AND POLICY COMMITTEE

18th August 2014



Report of: Director of Regeneration and Neighbourhoods

Subject: UPDATE ON THE MODERNISATION OF THE EU
PROCUREMENT RULES

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 For Information.

2. PURPOSE OF REPORT

2.1 To update the Finance & Policy Committee on forthcoming changes to the EU Procurement Rules.

3. BACKGROUND

3.1 Negotiations on the revised EU procurement directives concluded in July 2013 with a package of 3 procurement directives being provisionally agreed. This comprised a revised public sector directive, a revised utilities sector directive, and a new directive containing procedural rules for the award of concessions contracts.

3.2 Work has continued over the past few months to translate the texts into several other European languages.

3.3 The final formal stage of the EU process, when the EU adopts the package and publishes the new directives in the Official Journal of the European Union, took place in Autumn 2013, and this has been followed in the UK by a formal process (transposition) which leads to the making of regulations to implement the directive.

3.4 The UK government has indicated that they intend to implement the new rules as quickly as possible and it is anticipated that this will be achieved towards the end of 2014.

4. INFORMATION FOR REVIEW

4.1 There are a significant number of changes to the previous regulations and these are listed below. Due to the number of changes, these are described briefly, below.

4.2 Summary of Changes

- i) A much simpler process of assessing bidders' credentials will be introduced. This will involve greater use of supplier self-declarations, and it is intended that only the winning bidder should have to submit various certificates and documents to prove their status. In practice this will mean that at PQQ/Business Questionnaire stage of the procurement process, bidders will be allowed to declare that they have specific credentials and we will proceed with the procurement process on the basis of that declaration. Following evaluation of tenders, the winning bidder will be required to provide proof of their credentials. Should they be unable to provide such proof, the Council will then approach the 2nd ranked bidder etc.
- ii) More freedom to negotiate – constraints on using the negotiated procedure have been relaxed, so that procedure is available for any requirements that go beyond “off the shelf” purchasing. Although ‘negotiate’ in public procurement parlance still means a fairly structured process, it is a useful facility to have. This is a very positive change which will allow the Council to discuss its requirements with suppliers throughout the procurement process and hopefully this will result in higher quality, lower cost services.
- iii) Poor performance under previous contracts is explicitly permitted as grounds for exclusion, although this is not necessarily straight forward and it will require clear audit trails so that poor performance can be evidenced, otherwise authorities would run the risk of suppliers successfully challenging such decisions.
- iv) Services to be procured have always been classified as either Part A or Part B. The majority of services are classified as Part A and the procurement of these has to follow the full EU prescribed procedure. Part B services are those which are typically of little interest to suppliers in other countries and these include education, social and health related services. Part B services procurement does not have to follow the full EU procedure, removing requirements around timescales and advertising.

Under the new regime, the distinction between Part A and Part B Services has been removed, and a new light-touch regime introduced for social and health and some other services. There will be OJEU advertising and other specific obligations for this new light-touch regime, but a much higher threshold has been agreed (EUR 750,000).

Although not immediately apparent from the wording employed, this is a tightening rather than a relaxation of current rules.

Currently Part A services account for the majority of requirements, with Part B covering a smaller range (importantly for LA's this includes recreation, education, health and social services) and the current rules allow these to be tendered with only minimal influence from the EU Public Procurement Regulations. However, under the forthcoming rules, it appears that, apart from any social or health services, all those which were classified as Part B will now be subject to a full EU procurement process.

The full details of exactly how this change will work will be provided in due course.

- v) A Dynamic Purchasing System (DPS) is an electronic system mainly used by a contracting authority to purchase commonly used goods, works or services within a limited duration. It is an optional process designed to assist the buyer in setting up and maintaining a list of providers from whom a buyer can achieve better value for money for commonly used purchases when the need arises, not dissimilar to a select list or a catalogue.

The rules on "Dynamic Purchasing Systems" have been greatly simplified, with the removal of the onerous obligation to OJEU-advertise call-off contracts made under the DPS.

This change could be helpful to the Council as it may facilitate the creation of high value select list type arrangements, although there are some finer points which need resolving and these may yet render the DPS facility too complicated to use in any practical way.

- vi) The ability to reserve the award of certain services contracts to mutuals/social enterprises for a time limited period has been added to the rules. This supports the 'Right to Challenge' element of the Localism Act, by creating an environment where the contracting-out of services is more attractive to service providers. For example, a social enterprise may previously have refrained from challenging the Council's delivery model for various services as all this would do is potentially open up the market place for other companies to compete to provide the services.

Under these new rules it appears that bidding companies can be restricted to those which meet specific criteria, i.e. a mutual or social enterprise. It is important to note that this ability to reserve is linked to the service contract, it does not relate to geographic locations. So, in practice, should the Council wish to support local mutuals/social enterprises by reserving a particular contract to those types of organisation, the field can be narrowed by sector but the opportunity

would still potentially be subject to particular advertising requirements, thereby widening the net to non-local suppliers.

This rule has been established to encourage public sector staff to set up mutuals or co-operatives and will allow LA's to award time limited contracts.

- vii) Electronic marketplaces for public procurement are expressly permitted, removing any doubt as to their legality
- viii) The changes claim to reduce red-tape on suppliers' response times. This is in keeping with a Government drive to reduce procurement timescales as much as possible.

The statutory minimum time limits by which suppliers have to respond to advertised procurements and submit tender documents have been reduced by approximately a third. This flexibility could be helpful for speeding up simpler or off-the-shelf procurements, but still permits longer timescales for requirements where bidders need more time to respond.

- ix) The directive includes a binding commitment on the Commission, to review the economic effects on the internal market as a result of the application of thresholds, which could lead to an increase in the thresholds, which have been broadly static for 20 years. If an increase is agreed then more expenditure will be able to take place outside the onerous EU regulation requirements.

Indications are that any such review would increase the existing thresholds. This would be positive for the local economy as it could support a justification to raise the Contract Procedure Rules thresholds, enabling the Council to place more business through the quotation rather than tender route. Under the quotations procedure the Council is able to select which companies are invited to quote, therefore opportunities for local companies can be maximised.

- x) The changes provide legal clarity that buyers can take into account the relevant skills and experience of individuals at the award stage where relevant (e.g. for consultants, lawyers, architects, etc). This is instead of only being able to look at this at Pre Qualification Questionnaire stage. This is an improvement when letting contracts for technical or specialist services as it allows the Council to use the expertise of the delivery team as an evaluation criteria for shortlisting, and also when awarding the contract itself.
- xi) Rules have been improved on social and environmental aspects, making it clear that:
 - social aspects can now also be taken into account in certain circumstances (in addition to environmental aspects which had previously been allowed).

- buyers can require certification/labels or other equivalent evidence of social/environmental characteristics, further facilitating procurement of contracts with social/environmental objectives.
 - and refer to factors directly linked to the production process
- xii) Electronic communication / e-procurement will become mandatory following 4.5 years after the directive's adoption. This is not a problem for us as we are already making use of e-procurement technology and have done so for several years.
- xiii) There are various improved safeguards from corruption including:
- specific safeguards against conflicts of interest, similar to common existing UK practice where declarations are signed by procurement staff to confirm they have no outside interests with bidders etc
 - similar provision against illicit behaviour by candidates and tenderers, such as attempts to improperly influence the decision-making process or collusion.
 - safeguards against undue preference in favour of participants who have advised the contracting authority or been involved in the preparation of the procedure.
 - self-cleaning measures, for suppliers who have cleaned up their bad practices, which will touch upon those found guilty of 'blacklisting'. In all likelihood, self-cleaning will include the payment of any fines imposed as a result of wrongdoing.
- xiv) Under the new rules, buyers will be encouraged to break contracts into lots to facilitate SME participation, but there is discretion not to do so where appropriate. The aims of this are clear, although this is a significant change from the previous emphasis on aggregation of requirements and economies of scale.
- xv) The new rules encourage and allow preliminary market consultation between buyers and suppliers, which should facilitate better specifications, better outcomes and shorter procurement times. This will be very useful in terms of service design, allowing companies to support the design process.
- xvi) A turnover cap has been introduced to facilitate SME participation. Buyers will not be able to set company turnover requirements at more than two times contract value. For example, this means that a company with a £100k turnover could not be rejected from a procurement process for a £50k contract on grounds of insufficient turnover, whereas currently such a rule could be implemented by a Contracting Authority. We are in the process of proposing a financial assessment model which complies with this requirement.

- xvii) A new procedure has been introduced: the “Innovation Partnership” procedure. This is intended to allow scope for more innovative ideas. The supplier essentially bids to enter into a partnership with the authority, to develop a new product or service.
- xviii) Full life-cycle of costings can be taken into account when awarding contracts; whilst not new, could encourage more sustainable and/or better value procurements which may save money over the long term but appear more costly on the initial purchase price.
- xix) Public authorities will no longer have to submit detailed annual statistics on their procurement activities. The Commission will collect this information directly from the online system, thereby freeing up valuable time and resources for public authorities. This is a useful improvement and actually, for once, reduces the amount of work involved in complying with the EU procurement rules.
- xx) The new rules propose a supplier qualification system called “E-certis”: This works in a situation where contracting authorities require certificates etc from winning bidders and suppliers need to know what type of information and documents they will need to provide. “E-certis” will be a central, on-line point where suppliers can find out the type of documents which they may be asked to provide in any EU country, even before they decide to bid. This should be of particular help when suppliers wish to bid cross-border, as they may be unfamiliar with the detailed requirements of other EU Member States
- xxi) Concessions contracts (works and services) will need to be advertised in OJEU where the contract value exceeds EUR 5million, and procured in compliance with the new procedural rules regime for concessions. Concessions are arrangements where the Contractor exploits the services/works which have been developed and generates their income by charging the public (or other customer groups), e.g. toll bridges.

5. RECOMMENDATIONS

- 5.1 That the Committee note and comment on the contents of the report.

6. BACKGROUND PAPERS

- 6.1 No background papers.

7. CONTACT OFFICER

7.1 Denise Ogden
Director of Regeneration and Neighbourhoods
Civic Centre
Victoria Road
Hartlepool
TS24 8AY
Email: denise.ogden@hartlepool.gov.uk
Tel: 01429 523301

David Hart
Strategic Procurement Manager
Civic Centre
Victoria Road
Hartlepool
TS24 8AY
Email: david.hart@hartlepool.gov.uk
Tel: 01429 523495

FINANCE AND POLICY COMMITTEE

18th August 2014



Report of: Director of Regeneration and Neighbourhoods

Subject: DELEGATED POWERS PROPERTY
TRANSACTIONS - QUARTERLY REPORT – 2014
(Q1)

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 For information purposes only.

2. PURPOSE OF REPORT

2.1 To inform the Committee of the recent minor property issues dealt with under Delegated Powers since the matters were last reported on 19th May 2014.

3. BACKGROUND

3.1 Under Part 3 of the Constitution (Responsibility for Functions) the Director of Regeneration and Neighbourhoods has delegated powers for a variety of transactions within a prescribed threshold which is currently £30,000 in capital value and £12,000 in rental value. The powers are to approve land and property disposals, leases, lettings, licences, wayleaves, easements, undertaking and concluding rent reviews, lease renewals and the release and amendments of restrictions, covenants and other land and property matters within the prescribed thresholds as approved by the Council. The current valuation thresholds were approved by Finance & Policy Committee on 26th July 2013.

3.2 This enables minor property transactions to be concluded efficiently and effectively.

3.3 This report is provided to Committee on a quarterly basis to up-date members of all the land and property transactions that are approved under the Delegated Powers procedure.

4. PROPOSALS

- 4.1 To date the delegation has been effective and a number of transactions have been progressed in accordance with delegated consent as summarised in **Confidential Appendix 1. This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely paragraph 3, information relating to the financial or business affairs of any particular person (including the authority holding that information).**

5. FINANCIAL AND RISK CONSIDERATIONS

- 5.1 Increased efficiency arising from a simplified approval process is reducing the time spent by the Estates and Regeneration Manager preparing reports in relation to minor transactions. The additional time will be spent facilitating the delivery of other key projects thereby reducing the overall costs of operating the section.
- 5.2 Any instances where the Director of Regeneration and Neighbourhoods deems there to be a risk in exercising the delegated power will be referred to Committee for decision.

6. LEGAL CONSIDERATIONS

- 6.1 Legal agreements are in place to safeguard the Council's interests.

7. EQUALITY AND DIVERSITY CONSIDERATIONS

- 7.1 There are no diversity and equality issues.

8. STAFF CONSIDERATIONS

- 8.1 There are no staffing considerations as part of this report.

9. ASSET MANAGEMENT CONSIDERATIONS

- 9.1 The attention of the Committee is drawn to the Asset Management element of the Medium Term Financial Strategy (MTFS). A previous decision requires a commercial, proactive approach to be taken on Asset Management issues, the proceeds of this transaction being a contribution to the Medium Term Financial Strategy (MTFS).
- 9.2 The decision to adopt a commercial approach to asset management requires the Council to realise the full value of any properties or property rights that it disposes of.

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

- 10.1 There are no Section 17 implications.

11. RECOMMENDATIONS

- 11.1 The Committee notes the report and the property issues dealt with under Delegated Powers.

12. REASONS FOR RECOMMENDATIONS

- 12.1 To provide information on the property issues dealt with under Delegated Powers.

13. BACKGROUND PAPERS

- 13.1 There are no background papers.

14. CONTACT OFFICER

- 14.1 Denise Ogden
Director of Regeneration and Neighbourhoods
Civic Centre
Victoria Road
Hartlepool
TS24 8AY
Email denise.ogden@hartlepool.gov.uk
Tel: 01429 523301

FINANCE AND POLICY COMMITTEE

18th August 2014



Report of: Director of Regeneration and Neighbourhoods

Subject: CORPORATE PROCUREMENT QUARTERLY
REPORT ON CONTRACTS

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 For information.

2. PURPOSE OF REPORT

2.1 To satisfy the requirements of the Council's Contract Procedure Rules with regard to the Finance & Policy Committee:

- Receiving and examining quarterly reports on the outcome of contract letting procedures including those where the lowest/highest price is not payable/receivable.
- Receiving and examining reports on any exemptions granted to these Contract Procedure Rules.

3. BACKGROUND

3.1 The Council's Contract Procedure Rules require that the following information be presented to the Finance & Policy Committee on a quarterly basis:

Section of Contract Procedure Rules		Information to be reported
Introduction	Para 8 iii & Para 8 vi	Outcome of contract letting procedures
Part G	Para 12 v	

Introduction Part B	Para 8 iii Para 3 v	Basis of award decision if not lowest/highest price payable/receivable
Introduction	Para 8 vi	Contract Name & Reference Number
Part G	Para 12 v	
Introduction	Para 8 vi	Description of Goods/Services being procured
Part G	Para 12 v	
Introduction	Para 8 vi	Department/Service area procuring the goods/services
Part G	Para 12 v	
Introduction	Para 8 vi	Prices (separate to Bidders details to preserve commercial confidentiality)
Part G	Para 12 v	
Part G	Para 12 v	Details of Bidders

- 3.2 In addition to tender related information, details of exemptions granted to the Contract Procedure Rules are also reportable quarterly.

4. INFORMATION FOR REVIEW

4.1 Tender information

The table at **Appendix A** details the required information for each procurement tender issued since the last quarterly report.

- 4.2 The Committee may within the Contract Procedure Rules request further information or seek further monitoring reports on selected contracts.

- 4.3 In addition the Audit and Governance Committee may request a contract to be monitored under their specific responsibilities relating to the scrutiny of contracts.

4.4 Exemption information

Appendix B provides details of the required information in relation to Contract Procedure Rules exemptions granted since the last Corporate Procurement Quarterly Report on Contracts.

- 4.5 The table at confidential **Appendix C** includes the commercial information in respect of the tenders received.

This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely, Appendix C.

5. RECOMMENDATIONS

- 5.1 That the Committee note and comment on the contents of the report.
- 5.2. The Committee note that a review of the Council's Contract Procedure Rules will be undertaken once the detail of the new rules is released to consider whether any changes are required to ensure conformity.
- 5.3 That a report be considered by Finance and Policy Committee identifying these changes, should that be the case.

6. REASONS FOR RECOMMENDATIONS

- 6.1 The Committee is required to review the information supplied to ensure that monitoring in the award of contracts is carried out and evidenced.

8. BACKGROUND PAPERS

- 8.1 There are no background papers.

9. CONTACT OFFICER

- 9.1 Denise Ogden
Director of Regeneration and Neighbourhoods
Civic Centre
Victoria Road
Hartlepool
TS24 8AY
Email: denise.ogden@hartlepool.gov.uk
Tel: 01429 523301

Tender Information

Date of Contract Award	Contract Name and Reference Number	Description of Goods / Services being procured	Department / Service area procuring the goods / services	Details of Bidders	Location of Bidder	Basis of award decision if not lowest/highest price payable / receivable	Outcome of contract letting procedures
	Hartlepool Regeneration Masterplan	The creation of a Masterplan for the Hartlepool Waterfront and wider Town Centre. The Masterplan will set out a site specific vision for the delivery of future regeneration activities including Jacksons Landing.	Regeneration and Neighbourhoods	BDP Cass Associates CB Richard Ellis DTZ Gillespies LLP GVA Grimley Ltd Heart Land Design Ltd ID Partnership-Northern Plus Three Architecture Ltd Smeeden Foreman Tibbalds Planning & Urban Design Turley	Manchester Liverpool London Leeds Cheshire, Newcastle upon Tyne Consett Newcastle-upon-Tyne Newcastle Harrogate, N Yorkshire London Leeds	Most economically advantageous	GVA Grimley Ltd Newcastle upon Tyne

7.3 APPENDIX A

				Associates Urban Initiatives URS Infrastructure & Environment UK Limited	London Middlesbrough		
	Hart Lane Back Alley Scheme		Regeneration and Neighbourhoods	G & B Civil Engineering Ltd Hall Construction Services Ltd Seymour Civil Engineering Contractors Ltd Tangent Construction Ltd	Newcastle Rushyford, Durham Hartlepool Hartlepool	Lowest Price Received - (Bidders from Approved Select List)	Tangent Construction Ltd Hartlepool
16/6/2014	Combined Liability Insurance	Combined Liability Insurance	Chief Executives Department	Risk Management Partners Travellers Insurance Co. Zurich Municipal	London Surrey Newcastle	Most economically advantageous	Risk Management Partners London

Procurements Exempted from Council Contract Procedure Rules

Dept	Service Unit	Company Name	Company Based at	Estimated Expenditure	Description	Approval
CEX	Revenues	Inform CPI Ltd	London	£7,500	Specialised Database and Technical Skills are provided by this Company	14.03.2014
C&A	Director	Anne Welsh	Newcastle	£5,000.00	Alternative quotations could not be sources as this is a specialist training supplier	17.03.2014
R&N	Technical Services	KBI Limited	Holdsworth, Halifax	£4,500	Relatively low value (£4500) and for a unique product we are looking to pilot.	19.03.2014
R&N	Neighbourhood Division	PKR	Darlington	£63,000 Expenditure has financial performance related to it which determines targets for income, reducing the expenditure to £23,000	Transport Related Consultancy Services	20.03.2014
R&N	Community Safety Team	Stockton Borough Council	Stockton on Tees	£33,284 p.a. – for up to 5 years (3+2 arrangement) = £166,420	Approved previously on 08.03.2013 at the R & N Portfolio holder meeting. This allows reductions in the costs of CCTV maintenance that improved quality and responsiveness	25.03.2014
R&N	Waste & Environmental Services	The Green Estate Ltd	Sheffield	£5,600	Trial project for a bespoke service to establish a wild flower meadow in a section of the A689 central reservation	11.04.2014
C&A	Education	The Full English Education Consultancy & Services Ltd	Durham	£3,000.00	Consultancy services to support Children with their GCSE English studies. It is a specialist service which no-one else provides.	11.04.2014

C&A	User Property and Finance	Trojan Consultants Ltd	Bromsgrove, Worcestershire	£20-25K	CASPAR is a computer software system which manages the appointeeship/deputyship for individuals who do not have the mental capacity to manage their own finances and do not have a family member or friend to carry out the role for them. No other systems carry out this specialist function.	23.04.2014
R&N	Technical Services	KBI Limited	Holdsworth, Halifax	£3,700	Unique product we are looking to pilot in the Councils Adoptable Highway area.	15.05.2014

Extensions to existing Contracts

Dept	Service Unit	Company Name	Description	Approval	Contract Extension Start	Contract Extension End	Estimated Expenditure
C&A	Modernisation Team	Trustees of the Hospital of God, Estate Office, Greatham, Hartlepool, TS25 2HS	Provision of a day centre for people with a dementia	23.04.2014 by Denise Ogden, Chris Little and Peter Devlin	01.07.2014	30.09.2014	£66,720 for a 3 month extension
C&A	Modernisation Team	Hartlepool Voluntary Development Agency Ltd, Rockhaven, 36 Victoria Road, Hartlepool, TS26 8DD	Provision of a day centre for people with a dementia	23.04.2014 by Denise Ogden, Chris Little and Peter Devlin	01.07.2014	30.09.2014	£42,500 for a 3 month extension

FINANCE AND POLICY COMMITTEE

18 August 2014



Report of: Assistant Chief Executive

Subject: HEALTH AND SAFETY ANNUAL REPORT

1. TYPE OF DECISION/APPLICABLE CATEGORY

For Information.

2. PURPOSE OF REPORT

- 2.1 To provide the committee with the annual report on health, safety and wellbeing performance.

3. BACKGROUND

- 3.1 In September 2011 the Health and Safety Executive and the Institute of Directors published a joint guide on Leading Health and Safety at Work which outlined the actions senior managers should be taking in relation to health and safety matters. One of the key recommendations of this guidance is to ensure regular health and safety information is reported to senior managers. The first Council health, safety and wellbeing report covering the Council financial reporting period 2012-13 was considered by the committee on the 19th September 2013 this is the second such report and covers the period 2013-14.

4. CONSIDERATION OF ISSUES

- 4.1 It is important that health and safety performance is reported to the most senior decision makers in the Council in a formal but none bureaucratic way. This allows for consideration of the impact that decisions and work practices can have on those delivering or receiving the services provided by the Council. A copy of the report has been attached as Appendix 1.
- 4.2 The report clearly indicates that; although the council is going through difficult times financially the number of RIDDOR reportable injuries is falling and although this is accompanied by a fall in the actual number of employees the RIDDOR rate is also falling. Whilst some of this change has been due to changes in the reporting requirements the consistent downwards trend has been due to the council identifying health and safety

concerns such as exposure to vibration which can lead to Hand Arm Vibration Syndrome and dealing with the issue.

- 4.3 It should be noted this report relates to directly employed council staff only and excludes schools. This is due to the significant changes in the way schools are managed or operated e.g. transferring to academy part way through a reporting year which would make the collection of data difficult and accurate year on year comparison impossible.
- 4.4 In previous years there have been queries as to why other accident information e.g. from external businesses is not included. This report is prepared solely for the purposes of informing senior Council managers/elected members in their role as employer. Whilst the council has regulator responsibilities in some businesses through the Public Protection division of the Public Health Department this is a completely separate role with its own data collection arrangements which is reported nationally and lead by the Health and Safety Executive(HSE).

5. RECOMMENDATIONS

- 5.1 That the Committee notes the content of the annual report.

6. REASONS FOR RECOMMENDATIONS

- 6.1 To meet best practice in that accident performance data should be reported to the leadership of an organisation.

7. BACKGROUND PAPERS

Local Joint Consultative Committee report 24 July 2013
Finance and Policy Committee report 19 September 2013

8. CONTACT OFFICER

Andrew Atkin
Assistant Chief Executive
Email: Andrew.atkin@hartlepool.gov.uk
Tel: 01429 523003

Stuart Langston
Health, Safety and Wellbeing Manager
Email: Stuart.langston@hartlepool.gov.uk
Tel: 01429 5235460