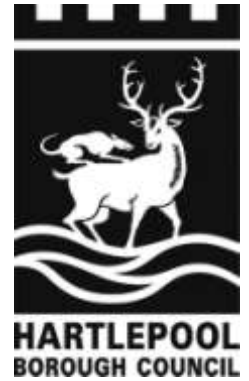


FINANCE AND POLICY COMMITTEE

AGENDA



Monday 18 September, 2017

at 10.00 am

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

MEMBERS: FINANCE AND POLICY COMMITTEE

Councillors C Akers-Belcher, Clark, Cranney, Fleming, Hunter, James, Lindridge, Loynes, Moore, Thomas and 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 9 August 2017.
- 3.2 To receive the minutes of the meetings of the Tees Valley Combined Authority held on 13 June 2017.

4. BUDGET AND POLICY FRAMEWORK ITEMS

- 4.1 MTFS Update and Savings Programme 2018/19 and 2019/20 for Finance and Policy Committee – *Chief Executive*
- 4.2 Community Engagement and Cohesion Strategy – *Director of Regeneration and Neighbourhoods and Director of Finance and Policy*
- 4.3 Health and Wellbeing Strategy (2018 - 2025) – *Interim Director of Public Health*

5. KEY DECISIONS

- 5.1 Sale of Land at Hart – *Director of Regeneration and Neighbourhoods*



6. OTHER ITEMS REQUIRING DECISION

- 6.1 The EU General Data Protection Regulation (GDPR) – *Chief Solicitor*
- 6.2 Review of Policy and Procedures – *Assistant Director, Corporate Services*
- 6.3 Council Plan 2017 – 2020 - Quarter 1 Performance Report – *Chief Executive*
- 6.4 Strategic Financial Management Report - as at 31st July 2017 – *Corporate Management Team*
- 6.5 Consolidated Departmental Annual Procurement Report – *Director of Finance and Policy*

7. ITEMS FOR INFORMATION

No items.

8. ANY OTHER BUSINESS WHICH THE CHAIR CONSIDERS URGENT

FOR INFORMATION

Future meeting dates –

Monday 2 October, 2017 at 10.00 am
Monday 30 October, 2017 at 10.00 am
Monday 20 November, 2017 at 10.00 am
Monday 8 January, 2018 at 10.00 am
Monday 12 February, 2018 at 10.00 am
Monday 12 March, 2018 at 10.00 am



FINANCE AND POLICY COMMITTEE MINUTES AND DECISION RECORD

9 AUGUST 2017

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

Present:

Councillor Christopher Akers Belcher (In the Chair)

Councillors: Alan Clark, Kevin Cranney, Tim Fleming, Marjorie James,
Jim Lindridge, Brenda Loynes, Stephen Thomas and Paul Thompson.

Also Present: Councillor Rob Cook.
Edwin Jeffries, Hartlepool Joint Trades Union Committee

Officers: Gill Alexander, Chief Executive
Chris Little, Director of Finance and Policy
Denise Ogden, Director of Regeneration and Neighbourhoods
Hayley Martin, Head of Legal Services (Place)
Alastair Rae, Public Relations Manager
David Cosgrove, Democratic Services Team

38. Apologies for Absence

None.

39. Declarations of Interest

None.

40. Minutes of the meeting held on 24 July 2017

Confirmed.

41. Senior Leadership Restructure (*Chief Executive*)

Type of decision

Non-key decision.

Purpose of report

The report made recommendations to Finance and Policy Committee in respect of the Chief Officer structure of the Council with particular reference

to the Public Health Department and Child and Adult Services, though there were also implications for Regeneration and Neighbourhoods Department.

Issue(s) for consideration

The Chief Executive reported that following the resignation of the Director of Public Health and continuing changes in the operating environment for Child and Adult Services she was proposing a range of changes in respect of the senior leadership structure. The aim of the proposals was to ensure that the Chief Executive had a senior leadership team clearly focused on the challenges the Council faced that made best use of the expertise currently in the authority and delivers for the Council excellent and consistent services. The proposals to achieve this aim were included in Appendix 1 in the exempt section of the report. This item contains exempt information under Schedule 12A of the Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely, Para 2 – Information which is likely to reveal the identity of an individual.

The Chief Executive commented that the proposed structure could be funded on a recurring basis from existing resources. In the short term there would be temporary savings as individuals progressed through the grades. It was recommended that these resources were earmarked to fund temporary capacity which may be needed in the short term to address the challenges facing the Council and to support the achievement of the Council's priorities in these service areas.

The Hartlepool Joint Trade Unions Committee (HJTUC) had been provided with a copy of this report and their written comments were circulated at the meeting. Consultation has also been undertaken with Centre Director for Public Health England. All affected Chief Officers had been provided with a copy of the report.

A Member questioned if it was a statutory requirement to have a designated Chief Officer for Public Health and the Chief Executive confirmed that was the case. It had become clear from the discussions with the Centre Director for Public Health England that the role was becoming integrated to a greater extent with community based services in local authority settings. This together with the pressures following the demise of the Tees valley Shared Services arrangements meant there was a need to strengthen the authority's structures around needs analysis and business intelligence particularly when commissioning external services or determining whether previously external contract work could return 'in-house'.

The Chief Executive also stated that there was move among local authorities to move away from the Director with 'two hats' for Adult and Children's services due to the pressures both services were under locally and nationally. The separation of the structures proposed within the report would see the community based prevention work including the new Community Hubs being part of the new 'Adults' structure, with the

commissioning role centered in the 'Children's' structure though working across both departments. There would also be some required strengthening of the child protection role within the new Children's structure.

The meeting concluded that elements of the exempt section of the report needed to be discussed and the necessary resolution to exclude the press and public was, therefore, moved and agreed. Details of the Committee's further discussions are set out in the exempt section of the minutes.

The recommendations were agreed unanimously.

Decision

1. That the deletion and addition of the posts, including noting the grading of the additional posts, identified in the Not For Publication element of the report be approved;
2. That the appointment arrangements identified in the Not For Publication element of the report be approved;
3. The Committee noted that the proposals as set out in the Not For Publication element of the report would form the basis of appropriate communications and consultations with those staff affected;
4. That the functional groupings identified in the Not For Publication element of the report and the service realignments be approved;
5. The Committee noted the recurring costs of the proposed structure can be funded from existing resources;
6. The Committee noted that in the short term there would be temporary savings as individuals' progressed through the grades and approved that these resources are earmarked to fund temporary capacity which may be needed over the few years to address the challenges facing the Council and to support the achievement of the Council's priorities in these service areas
7. The Committee noted that on the basis of Members approving these proposals detailed in the report, a review of the Heads of Service i.e. managers reporting to Assistant Directors would be undertaken. These reviews would be cost neutral and would be undertaken in consultation with the relevant Policy Chairs, in accordance with the Council's constitution.

42. Any Other Items which the Chairman Considers are Urgent

None.

The Committee noted that the next meeting would be held on Monday

18 September at 10.00 am in the Civic Centre.

43. Local Government (Access to Information) (Variation Order) 2006

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

Minute 44 – Senior Leadership Restructure – 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. 2) information which is likely to reveal the identity of an individual.

44. Senior Leadership Restructure (*Chief Executive*) 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. 2) information which is likely to reveal the identity of an individual.

Type of decision

Non-key decision.

Purpose of report

The report made recommendations to Finance and Policy Committee in respect of the Chief Officer structure of the Council with particular reference to the Public Health Department and Child and Adult Services, though there were also implications for Regeneration and Neighbourhoods Department.

Issue(s) for consideration

Details of the Committee's further discussions are set out in the exempt section of the minutes.

Decision

The Committee's decisions are as set out above in Minute 41.

The meeting concluded at 1.15 pm

P J DEVLIN, CHIEF SOLICITOR
PUBLICATION DATE: 18 AUGUST 2017



Minutes

TEES VALLEY COMBINED AUTHORITY CABINET

**Cavendish House, Teesdale Business Park, Stockton-on-Tees at 5.00pm on
Tuesday, 13th June, 2017**

ATTENDEES

Members

Mayor Ben Houchen (Chair)	Tees Valley Mayor
Mayor David Budd	Mayor of Middlesbrough
Councillor Christopher Akers-Belcher	Leader, Hartlepool Borough Council
Councillor Bob Cook	Leader, Stockton-on-Tees Borough Council
Councillor Bill Dixon	Deputy Leader, Darlington Borough Council
Councillor Sue Jeffrey	Leader, Redcar and Cleveland Borough Council
Paul Booth	Chair, Tees Valley LEP

Associate Members

Professor Paul Croney	Member of Tees Valley LEP
Alistair Hudson	Member of Tees Valley LEP
Angela Howey	Member of Tees Valley LEP
Mike Matthews	Member of Tees Valley LEP
Graham Robb	Member of Tees Valley LEP
David Soley	Member of Tees Valley LEP
Siobhan McArdle	Member of Tees Valley LEP

Apologies for absence

Jerry Hopkinson	Member of Tees Valley LEP
Phil Cook	Member of Tees Valley LEP
James Ramsbotham	Observer, Tees Valley LEP

Officers

Ada Burns	Chief Executive, Darlington Borough Council
Denise Ogden	Director of Regeneration and Neighbourhoods, Hartlepool Borough Council
James Bromiley	Strategic Director of Finance and Governance
Jonathan Bretherton	Chief Executive, South Tees Development Corporation
Garry Cummings	Chief Finance Officer, Stockton Borough Council
Neil Schneider	Chief Executive of Stockton-On-Tees Borough Council
David Bond	Monitoring Officer, Tees Valley Combined Authority
Andrew Lewis	Managing Director, Tees Valley Combined Authority
Sarah Brackenborough	Governance Manager, Tees Valley Combined Authority
Amanda Skelton	Chief Executive, Redcar & Cleveland Borough Council
Andrew Nixon	Deputy Monitoring Officer, Redcar & Cleveland Borough Council

Mark Wilson

Head of Transport, Tees Valley Combined Authority

TVCA 7/17	DECLARATIONS OF INTEREST Graham Robb declared an interest, as Senior Partner of Recognition PR, as a procured provider of publicity services to the Combined Authority. The Cabinet was made aware that Recognition PR would not be renewing the contract going forwards.
TVCA 8/17	MINUTES Consideration was given to the minutes of the meeting held on 31 st May 2017. RESOLVED that the minutes of the meetings held on 31 st May 2017 be confirmed and signed as a correct record.
TVCA 9/17	ANNOUNCEMENTS FROM THE CHAIR The Chair confirmed that all matters were covered on the agenda.
TVCA 10/17	SOUTH TEES DEVELOPMENT CORPORATION The Mayor left the meeting for a short period to receive a phone call from the Secretary of State. Councillor Bob Cook, Deputy Mayor, chaired this item. Consideration was given to a report formally proposing the designation of the South Tees area as a Mayoral Development Corporation. The Cabinet also considered the Constitution for the South Tees Development Corporation. It followed extensive consultation with statutory consultees. Stakeholders and the Combined Authority's Overview and Scrutiny Committee. The Chair of the Shadow South Tees Development Corporation Board, Councillor Sue Jeffrey, thanked all those involved for the progress that had been made so far. It was noted that the Mayor would now formally notify the Secretary of State of the designation and legislation would be drafted with central Government, to establish the Corporation as legal entity in the summer. The process for appointing the Board would also be undertaken, with formal nominations for appointment to be confirmed by the Cabinet at its meeting in July. RESOLVED that: <ul style="list-style-type: none"> i. the formal designation of the South Tees area be agreed, as defined by the boundary in the constitution, as a Mayoral Development Corporation (to be named the "South Tees Development Corporation (STDC)"); ii. the Mayor should formally propose the creation of the STDC to the Secretary of State, thereby initiating the next stage of the statutory process; iii. the STDC's Constitution be agreed; iv. the process to appoint Board members, and the independent chair of the STDC's Audit Committee, be initiated, on the basis set out in the constitution.

TVCA 11/17	<p>BUS SERVICES ACT</p> <p>Consideration was given to a report regarding the new Bus Services Act which was due to come into force on 27th June 2017.</p> <p>The Transport Committee had considered the implications of the Act at their meeting in March and recommended that the Combined Authority continues with a “twin track” approach to further investigation of delivery models for the future Tees Valley bus network; considering both franchising and partnership approaches. The Committee also recommended that the Combined Authority should develop a strategy to improve bus services, through consultation with partners and the wider public.</p> <p>RESOLVED that:</p> <ol style="list-style-type: none"> i. the powers available to the Combined Authority through the new legislation be noted; ii. a Bus Strategy be developed, as part of the statutory Strategic Transport Plan, informed by a workshop to be held in July; iii. £80k be allocated from the Combined Authority’s Development Fund, to support capacity to develop options as set out in the new legislation.
TVCA 12/17	<p>INVESTING IN OUR ROAD NETWORK</p> <p>Consideration was given to a report regarding plans for the Tees Valley Road network. The Cabinet was given detail on three areas of development:</p> <ul style="list-style-type: none"> • Improved East West Road connectivity along the A66 corridor from the A1(M) to Teesport – an overview of the work undertaken to date was given and approval for the strategic outline business case requested; • The National Productivity Investment Fund – detail was provided on the programme of investment for the £2.29 million allocation for 2017/18 and the approach being taken to develop a proposal for funding in 2018/19 and 2019/20; • Tees Valley Key Route Network (KRN) – detail was provided on the principles for the KRN and a proposal for an initial network for Tees Valley for approval. <p>RESOLVED that:</p> <ol style="list-style-type: none"> i. the Strategic Outline Programme Case for the A66 East-West connections study and the associated Strategic Outline Business Case for the A66 Northern Bypass be approved, to allow progression to the next stage of work; ii. a Key Route Network for the Tees Valley Combined Authority area be agreed; iii. the proposed package of schemes to improve the Key Route Network be agreed, to be funded by the National Productivity Investment Fund, for the financial year 2017/18 iv. proposals be submitted to the National Productivity Investment Fund for the 2018-20 period; and responsibility for the submission be delegated to the Managing Director; in consultation with the Tees Valley Mayor, the Cabinet Member for Transport, and transport lead officers from the five councils.
TVCA 13/17	<p>COMBINED AUTHORITY BUDGET 2016/17 OUTTURN POSITION</p> <p>Consideration was given to a report detailing the first year’s financial performance</p>

	<p>of the Combined Authority for 2016/17.</p> <p>Cabinet requested a breakdown of the “Other Spend” column at paragraph 4 of the report and also requested that the Statement of Accounts be brought to the Cabinet for approval.</p> <p>RESOLVED that the outturn position and current level of General Balance reserve be noted.</p>
TVCA 14/17	<p>DATE OF NEXT MEETING</p> <p>The next meeting would be on Thursday 27th July.</p> <p>As there were currently no items of business scheduled for the meeting on the 25th August it was agreed that the meeting would be cancelled.</p>

FINANCE AND POLICY COMMITTEE

18th September 2017



Report of: CHIEF EXECUTIVE

Subject: MTFS UPDATE AND SAVINGS PROGRAMME
2018/19 AND 2019/20 FOR FINANCE AND POLICY
COMMITTEE

1.0 TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Budget and Policy Framework.

2.0 PURPOSE OF REPORT

2.1 The purpose of this report is to update the MTFS and to enable Members to consider proposals to achieve further savings in 2018/19 and 2019/20.

3.0 BACKGROUND

3.1 A comprehensive report on the “Council Plan and Medium Term Financial Strategy – Capital and Revenue” was considered at the Finance and Policy Committee on 2nd December 2016. The report stated that despite the impact of continuing austerity and cuts in Government funding the Council needs to remain ambitious for the town.

3.2 The Council Plan 2017 to 2020 sets out the priorities we are committed to delivering and is based around six strategic priorities:

- Growing our economy, jobs and skills;
- Regenerating our town;
- Developing and promoting Hartlepool as a great place to live;
- Developing new services for people and communities;
- Building better beginnings and futures for our children and young people;
- Providing effective leadership based upon innovation and efficiency.

3.3 A report to Council on 23rd February 2017 approved the Medium Term Financial Strategy (MTFS) 2017/18 to 2019/20. The multi-year MTFS enabled a balanced budget be set for 2017/18. It also approved savings of £1.685m in 2018/19 and £0.785m in 2019/20 to begin to reduce the budget deficits in these years

- 3.4 However, the savings proposals approved for 2018/19 and 2019/20 did not address the full deficits and savings of £2.320m still need to be identified. This deficit is after reflecting forecast increases in Council Tax income and the use of the Budget Support Fund, as summarised below:

Summary of measures to reduce 2018/19 and 2019/20 gross budget deficits

	2018/19	2019/20	Total 2018/19 and 2019/20
	£'m	£'m	£'m
Gross Deficit	7.314	3.758	11.072
Less - Social Care Precept (3% 2018/19, 0% 2019/20)	(1.093)	0	(1.093)
Less - Council Tax increase 1.9%	(0.692)	(0.740)	(1.432)
Less - Growth in Council Tax base (742 Band D equivalent properties over the period 2018/19 and 2019/20)	(0.574)	(0.478)	(1.052)
Sub Total – Deficit after Council Tax increases and forecast housing growth	4.955	2.540	7.495
Less – Use of Budget Support Fund	(2.448)	(0.257)	(2.705)
Less – Savings approved February 2017	(1.685)	(0.785)	(2.470)
Cuts still to be identified	0.822	1.498	2.320

- 3.5 An update of the MTFS was considered by Finance and Policy Committee on 24th July and this confirmed the financial forecasts detailed in the previous paragraph. The update report also highlighted the continuing financial risks facing local authorities over the next few years. This underlines the importance of ensuring the Council sets balanced budgets for 2018/19 and 2019/20. For 2019/20 this needs to be based on minimising the use of one off funding to avoid deferring a budget deficit to 2020/21.
- 3.6 The MTFS forecasts are currently based on the Government's 1% pay cap remaining in place for 2018/19 and 2019/20. If actual pay awards are greater than 1% and the Government does not provide additional funding, the budget deficit will increase. Each additional 1% equates to an increase in the budget deficit of approximately £400,000.
- 3.7 The financial position facing the public sector for 2020/21 and future years is extremely uncertain and will depend on the state of the economy, including the impact of Brexit, policies adopted at a national level in relation to the overall size of the public sector and the level of national debt.
- 3.8 For Local Authorities policies implemented by the Government will have a significant impact and cover the following key issues:

- **100% Business Rates Retention** - the exclusion of a bill to move from 50% to 100% Business Rates Retention creates significant financial uncertainty regarding future funding arrangements for local authorities;
- **Business Rates indexation** - confirmation by the Treasury at the end of July 2017 that Business Rates indexation will switch from RPI (Retail Prices Index) to CPI (Consumer Prices index) from 2020 will be welcomed by the businesses. However, from local government's perspective this change will result in lower annual increases in this income stream, which will not keep pace with increases in the cost of delivering existing services.
- **Reform of the Local Government funding system** - the Government has indicated that work is continuing on a 'Fair Funding' review and they will be consulting on proposals during 2017. However, without 100% Business Rates Retention it is unclear how any changes will be funded. The Department for Communities and Local Government has recently indicated that this may not be implemented until 2020/21. Based on our current understanding of the significant work which needs to be completed before the Government can consult on detailed proposals the suggestion that any changes will be delayed until 2020/21 seems realistic;
- **Adult Social Care funding** - the significant financial challenges in this area were recognised by the Government prior to the General Election and short term funding has been provided. The Government has indicated they will be consulting on a number of options regarding the long term funding arrangements in due course;
- **Children's Social Care funding** - many councils, including Hartlepool, are experiencing significant financial pressures in this area. The Local Government Association (LGA) has recently issued a reporting warning of the significant financial challenges facing children's social care services. The LGA report shows that three quarter of English councils exceeded their budget for children's services last year, totalling a £605m overspend. The LGA forecast a £2 billion funding gap by 2020. This issue has not yet been recognised by the Government providing increased funding;
- **National Council Tax policy** - following a policy of encouraging Council Tax freezes for five years there was a significant shift in Government policy when they introduced the Adult Social Care precept for the period 2016/17 to 2019/20. Government Council Tax policy for 2020/21 and future years will have a significant impact on the financial sustainability of councils.
- **Public Sector pay levels and funding arrangements** - public sector pay has been subject to a prolonged period of restraint and the Government had previously indicated that a 1% Public Sector pay cap

would continue for 2018/19 and 2019/20. However, there have been increasing calls on the Government to remove the pay cap and to fund higher pay increases. If the Government remove the pay cap there will be significant financial pressures if additional Government funding is not provided for public sector organisations, including councils.

4.0 STRATEGY FOR MANAGING RESIDUAL BUDGET DEFICITS 2018/19 AND 2019/20

- 4.1 Further work has been complete over the summer to identify additional corporate and departmental budget savings for 2018/19 and 2019/20. As summarised below these additional savings will enable a balanced budget to be set for 2018/19 and reduce the current forecast 2019/20 deficit to £1.363m.

	2018/19 £'000	2019/20 £'000	Total £'000
Savings still to be identified	822	1,498	2,320
Less Corporate savings/updated planning assumptions - details paragraph 3.11	(544)	(135)	(679)
Less Additional Departmental savings - details paragraph 3.12	(278)	0	(278)
Revised Savings still to be identified	0	1,363	1,363

- 4.2 The revised 2019/20 deficit excludes the impact of ongoing Looked after Children's budget pressures and if this issue is not addressed through a combination of managing demand and / or the Government providing additional funding the 2019/20 deficit may increase by £2.5m i.e. a total forecast deficit of approximately £3.9m.
- 4.3 Details of the '**Corporate savings/updated planning assumptions**' are summarised in the following table and further details are provided in Appendix A:

Corporate savings/updated planning assumptions

	2018/19 Pressures /(Saving) £'000	2019/20 Pressures /(Saving) £'000	Total Pressures /(Saving) £'000
National Living Wage increases	(400)	(350)	(750)
IT inflation reduction	(100)	0	(100)
General Fund inflation	(77)	0	(77)
Specific Grant regimes inflation	(56)	0	(56)
Council Tax base	(160)	0	(160)
New Home Bonus	245	15	260
Waste Contract	80	0	80
Members Allowances	74	0	74
Income Risk Contingency	(150)	200	50
Total corporate savings/updated planning assumptions	(544)	(135)	(679)

- 4.4 Details of the '**Additional departmental savings**' will be reported to individual Policy Committees September meetings. These details, alongside any comments from the individual Policy Committees on these additional proposals, will then be reported to Finance and Policy Committee within the final MTFS report to consider and approve the budget proposals to be referred to Council.

5.0 **FINANCE AND POLICY COMMITTEE - SAVINGS PROPOSALS 2018/19 AND 2019/20 – INCLUDING FINANCIAL CONSIDERATIONS**

- 5.1 The Committee's remit covers three departments and details of the savings proposals for these areas are provided in the following paragraphs.

5.2 **Chief Executive's Department**

- 5.3 The 2018/19 and 2019/20 savings proposals approved in February 2017 are summarised below:

Finance & Policy Committee - Chief Executive's Department	Approved Savings 2018/19 £'000	Approved Savings 2019/20 £'000	Total Approved Savings £'000
Further review of management and operational structures	300	235	535
Total for Finance and Policy Committee - Chief Executive's	300	235	535

- 5.4 In relation to the 2018/19 approved savings work is progressing to implement these proposals and Member are advised that the savings will be achieved by implementing the following proposals:

- **Removal of vacant posts/changes in operational arrangements - £171,000**

The savings will be achieved by restructuring across the department (£141,000) and the removal of overtime budgets (£30,000).

- **Running costs - £59,000**

Cash freeze of non pay budgets and review of non pay budgets to reflect historic spend.

- **Income budgets - £70,000**

Re-alignment of income budgets to reflect historic trends.

5.5 Further work will be required to implement the 2019/20 approved savings and details will be reported to Members next year of how these savings will be achieved.

5.6 Regeneration and Neighbourhoods

5.7 The 2018/19 and 2019/20 savings proposals approved in February 2017 are summarised below:

Finance & Policy Committee – Regeneration & Neighbourhoods	Approved Savings 2018/19 £'000	Approved Savings 2019/20 £'000	Total Approved Savings £'000
Service Review - £50,000 , The authority previously contributed £311k to the Tees Valley LEP. When the Combined Authority was established this reduced to £50k, although the MTFS had forecast a reduction to nil. The shortfall in finding this saving has been identified in Community safety budget through the collaboration between the authority and police service review. This includes reviewing current working practices, a number of options are being worked upon which will be reported to Members as part of the follow up to the introduction of the new integrated Community safety / policing model.	50	0	0
Total R&Ns Services Committee:	50	0	50

5.8 Public Health – General Fund

The 2018/19 and 2019/20 savings proposals approved in February 2017 are summarised below:

Finance & Policy Committee – Public Health Department	Approved Savings 2018/19 £'000	Approved Savings 2019/20 £'000	Total Approved Savings £'000
Community Hubs	83	(76)	7
Total for Finance and Policy Committee – Public Health	83	(76)	7

- 5.9 As reported to Finance and Policy Committee on 2nd December 2016 a three year savings strategy for Community Hubs was approved covering the financial years 2017/18 to 2019/20. This achieves a gross saving of £200,000 over this period. After reflecting the costs associated with Owton Manor Community Centre and West View Community Hub there is a net saving of £30,000 (£23,000 in 2017/18 and £7,000 in 2018/19 and 2019/20). The Community Hubs are now operational and work is progressing to achieve the budget savings.

5.10 Housing Benefit Administration Grant 2018/19

- 5.11 The savings detailed in the previous paragraph exclude the additional savings which will be required to address a further forecast cut in the Housing Benefit Administration grant in 2018/19. This will be the eighth year this grant has been cut. The 2017/18 grant is 39% less than the grant received in 2010/11. In line with the approach adopted for the General Fund budget vacant posts and requests for voluntary redundancy will be considered to address the funding reduction, alongside further measures to redesign services. However, it is becoming increasingly difficult to maintain service standards in this area, against a background of continuing cuts in the Housing Benefit Administration grant.
- 5.12 There will be more significant changes in this service area and the level of Government funding in 2019/20 owing to the impact of the roll-out of Universal Credit by the Government. This change will remove responsibility for administering Housing Benefit for working age households, although responsibility will remain with the Council for Housing Benefit for 3,100 pensioners. In addition, the Council will remain responsible for administering Local Council Tax Support for approximately 8,100 working age and 5,500 pensioner households. To address the impact of these changes and ensure the Council continues to support vulnerable households the Council will need review the arrangements for managing residual Housing Benefit responsibilities for pensioners and LCTS for both working age and pensioner households, with a reduced level of funding for administrative responsibilities. This review will also need to include other support services provided to these groups, such as User Property and

Finance, to ensure the Council maximises support to vulnerable groups. Further information will be reported when it is provided by the Government.

6.0 CAPITAL STRATEGY

- 6.1 The Council Plan sets out capital priorities for the three years up to 2019/20 and funding to help deliver these priorities was approved in February 2017. Further details will be reported in the next MTFS report on the strategy to secure external grants and private sector funding to deliver those priorities that the Council cannot fund from its own resources.
- 6.2 To help with the development of the capital funding strategy it is recommended that Members review the funding previously allocated for the purchase and demolition of the Longscar building, of £600,000.
- 6.3 Following the outcome of the CPO process the owners have not yet brought forward proposals for developing this site, despite the representations they made at the CPO hearing. The Council therefore needs to determine if this funding either:
- remains earmarked for the potential purchase and demolition of the Longscar building, which would require agreement of a purchase price at a level which provided sufficient residual funding to demolish this building; or
 - accept that this element of the Seaton redevelopment cannot proceed and the funding should be transferred to the overall Regeneration Capital budget for the town.

7.0 RISK IMPLICATIONS OF PROPOSED SAVINGS

- 7.1 There are a number of risks implicit in the delivery of any package of savings and it is important to recognise these as part of any decision making. The primary risk relates to maintaining capacity to deliver the front line services and support to the Council/departments.
- 7.2 It is considered that the proposed 2018/19 savings can be delivered, although not without difficulty or some degree of risk. This can be managed in the coming year; however achieving these savings becomes more difficult each year. The following points highlight the key risks;
- Reduced staff morale. Where restructuring or reducing budgets has a continuing impact as the level of staff left to deliver services, it is essential to engage fully with those staff in order services are delivered in an effective and efficient way.
 - Reduced operational budgets can lead to a reduced ability to deliver key targets, outputs and outcomes.
 - Response times to enquiries and subsequent actions.

- Reputational damage for the Council. With the continued reduction in budgets and the ability to deliver services through reduced staffing capacity, there is a real danger the Council's reputation will suffer. There may be an increase in the number of complaints or a reduction in the level of customer satisfaction.

8.0 EQUALITY AND DIVERSITY CONSIDERATIONS

- 8.1 For each of the proposed savings areas where there is likely to be a direct impact on customers/service users and/or staff, consideration is given to the impact across each of the protected characteristic groups. This is recorded through an Equality Impact Assessment.
- 8.2 More than 90% of the above savings will be made by reducing staffing levels (mainly from vacant posts and ER/VR applications and changes to funding arrangements) with some changes to day to day running costs and significant savings being made from different funding arrangements for the Tees Valley Combined Authority.
- 8.3 This impact assessment will be reviewed by the Corporate Equality Group alongside those for the other Department savings proposals. An overall Equality Impact Assessment will be undertaken to identify if there is any Council-wide cumulative impact on protected groups from the savings proposals for the current proposed savings framework.

9.0 LEGAL CONSIDERATIONS

- 9.1 There are no specific legal considerations relating to this report.

10.0 CHILD AND FAMILY POVERTY

- 10.1 There are no specific child and family poverty considerations relating to this report.

11.0 STAFF CONSIDERATIONS

- 11.1 An assessment of the staffing impact of the 2018/19 savings proposals approved in February 2017, revisions to these proposals and the additional 2018/19 proposals has been completed. This has identified that 24 posts are proposed to be deleted from 1st April 2018 as part of the recommended savings proposals.
- 11.2 This includes 14 posts which can be managed through a combination of managing vacancies, or approving voluntary redundancies where this can be accommodated within operational requirements. At this stage it is anticipated that the remaining 10 posts may unfortunately result in compulsory redundancies.
- 11.3 However, as was the case in previous years, the Corporate Management Team will seek to maximise staffing reductions which can be achieved by

managing vacancies and accepting requests for voluntary redundancies, to reduce the number of compulsory redundancies. This approach will also seek to maximise redeployment opportunities.

12.0 ASSET MANAGEMENT CONSIDERATIONS

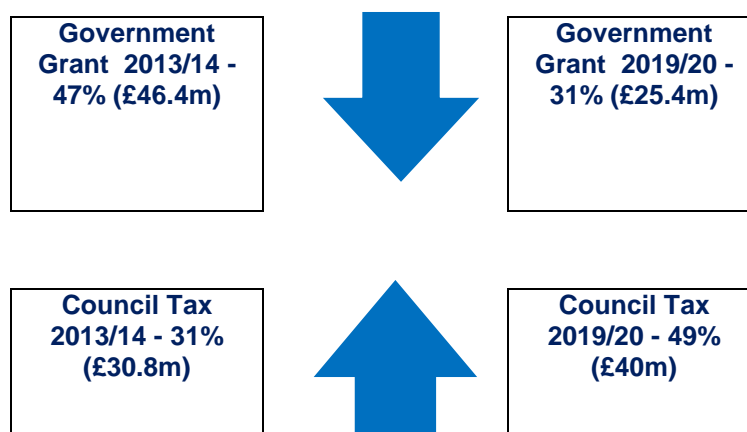
- 12.1 There are no specific assets management considerations relating to this report.

13.0 CONSULTATION

- 13.1 The majority of the approved savings for 2018/19 and 2019/20 were subject to consultation as part of the 2017/18 budget process. Where these proposals have changed significantly they will be subject to separate consultation alongside any additional savings proposed for 2018/19 and 2019/20. This consultation will include Trade Unions and individual staff groups affected by the proposals.

14.0 CONCLUSION

- 14.1 The Government has previously confirmed that Local Government funding cuts will continue until 2019/20. This means the sector will have faced nine consecutive years of funding cuts – which is unprecedented.
- 14.2 The cuts in Government funding have had a disproportionate impact on Councils, including Hartlepool, which were more dependent on Government grant in 2010/11. These authorities also had least ability to fund services locally from Council Tax owing to the make-up of the Council Tax base – i.e. a high proportion of properties in the low Council Tax bands. For example, 56% of Hartlepool's properties are in band A, compared to 25% nationally.
- 14.3 Since the current funding system was introduced in 2013/14, which included the implementation of 50% Business Rates retention, there has been a fundamental shift in balance the of funding for council service. This shift will continue until at least 2019/20 and means that a lower proportion of spending is funded from Government Grant and a higher proportion from Council Tax. This shift has been significant for Hartlepool as highlighted in the following table:

Shift in Balance of Funding 2013/14 to 2019/20

- 14.4 At the same time as managing significant cuts in funding Councils have also faced increased financial pressures from unfunded legislative changes, for example the National Level Wage. In addition, demand for services, particularly over the last few years in relation to Adult Services and Children's Services has increased.
- 14.5 The Government recognised the Adult Social care pressures through the Adult Social Care Council Tax precept and the provision of additional funding in the March 2017 budget.
- 14.6 The additional March funding for Adult Social Care is front loaded and therefore does not provide a permanent solution to Adult Social Care financial pressures. The Government has indicated they will be consulting on proposals to develop a long term funding model for Adult Social Care. Details will be reported to Members when this information becomes available.
- 14.7 The Government has not provided additional funding for Children's Services and this issue is becoming a priority for Local Government. A recent Local Government Association report indicated that 75% of Councils over spent on Children's Services in 2016/17 and by 2020 a national funding gap of £2 billion is forecast.
- 14.8 As Members are aware Children's Services pressures have previously been identified as the most significant financial risk facing the Council. To address this issue significant one off resources have been allocated to support this area in 2017/18 and 2018/19. Additional one off resources will be required in 2018/19 to provide a longer lead time to either reduce demand, which will be extremely challenging, or for the Government to provide additional funding. If neither of these measures is forthcoming the forecast 2019/20 budget deficit will increase by £2.5m.
- 14.9 To address the significant financial challenges facing the Council in 2018/19 and 2019/20 the Council approved a multi-year financial strategy in February 2017. This strategy is critically dependant on:

- Implementing planned Council Tax increases in line with the Government's policy of continuing to shift the funding of local services from Government grant (i.e. national taxation) to Council Tax. This includes the Social Care precept;
- Achievement of forecast housing growth; and
- The phased use of reserves to help manage budget reductions over the period 2017/18 to 2019/20.

- 14.10 The proposals in this report detail changes to the approved 2018/19 and 2019/20 savings to reflect changes in circumstances since February. In addition, further savings proposals are outlined to address departmental pressures and to make a contribution towards addressing the remaining 2018/19 budget shortfalls to enable a balanced budget to be set.
- 14.11 The position for 2019/20 is less positive and a significant budget deficit remains. Proposals for addressing the remaining 2019/20 of £1.363m will be developed during 2017/18. As indicated early in the report this could increase by a further £2.5m if Looked after Children's pressures cannot be reduced, or the Government do not recognise this as a national issues and provide additional funding.
- 14.12 Achievement of further savings for 2019/20 will be challenging and will require further changes and the prioritisation of services. To put this into context the net General Fund budget in 2019/20 will be approximately £81 million, compared to nearly £91m in 2013/14. This is a cash reduction of £10m. The real terms reduction after reflecting inflation and cost pressures since 2013/14 is nearer £18m.
- 14.13 Clearly, the Council will not be able to provide the same level of service in 2019/20 as it did in 2013/14 with a cash budget reduced from £91m to £81m. Therefore, whilst a balanced budget can be set for 2018/19 on the basis of proposals detailed in this report, there will be significant challenges in achieving a balanced budget for 2019/20.
- 14.14 Many of the measure implemented over the last 7 years cannot be repeated and the Council has already reduced the 2010/11 staffing baseline by 13% - a reduction of 470 posts
- 14.15 The Government's responses to the financial challenges facing Children's Services and Adult Services will be key to determining the scale of cuts required in 2019/20 and the future sustainability of Local Government.
- 14.16 The multi-year strategy being adopted by the Council is designed to manage the impact of continuing cuts in Government funding on a phased basis to minimise, as far as is possible within the reduced resources available to the Council, the impact on services and jobs. The strategy also aims to ensure

the Council is in the best possible financial position to manage the challenges and uncertainty facing councils in 2020/21 and future years.

15.0 RECOMMENDATIONS

15.1 It is recommended that Members of the Committee

- (i) Note the content of the report;
- (ii) Determine which of the following options should be recommended to full Council, as part of the overall MTFS proposals, in relation to the use of the resources previously allocated for the Longscar redevelopment:
 - **Option 1** – retain as earmarked funding for the potential purchase and demolition of the Longscar building, which would require agreement of a purchase price at a level which provided sufficient residual funding to demolish this building; or
 - **Option 2** - transferred to the overall Regeneration Capital budget for the town.

16.0 REASON FOR RECOMMENDATIONS

16.1 The proposals included in this report have been identified as being sustainable and deliverable.

17.0 BACKGROUND PAPERS

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

Council - Medium Term Financial Strategy (MTFS) 2017/18 to 2019/20 - 25th February 2017

Finance and Policy Committee - Medium Term Financial Strategy (MTFS) 2018/19 to 2019/20 - 24th July 2017

18.0 CONTACT OFFICERS

18.1 Chris Little
Director of Finance and Policy
Email: chris.little@hartlepool.gov.uk
Telephone: 01429 523003

APPENDIX A**CORPORATE SAVINGS/ UPDATED PLANNING ASSUMPTIONS**

	2018/19 Pressures /(Saving) £'000	2019/20 Pressures /(Saving) £'000	Total Pressures /(Saving) £'000
National Living Wage (NLW) increases <p>The Government is not providing additional funding to councils to meet the additional costs on external contracts arising from the introduction of the NLW.</p> <p>Prudent provisions for forecast annual increases in the NLW were included in the MTFS on the basis of information available at the time. This included the anticipation that the full 'target' NLW would be achieved with equal annual increases.</p> <p>These forecasts have been updated to reflect the impact of continued low levels of pay increases across most private and public sector organisation. As a result it is now anticipated that actual NLW increases over the next two years (2018/19 and 2019/20) will be lower than forecast within the current MTFS. Therefore, it is recommended that the budget provision included for these increases can be reduced.</p> <p>Whilst, this proposal will provide a temporary reduction in the costs of funding the NLW, these additional costs have simply been deferred to 2020/21 and future years.</p> <p>The recommendation to reduce the NLW budget for 2018/19 and 2019/20 does not impact of the Council's approved policy in relation to the Hartlepool Living Wage. The Hartlepool Living Wage will continue to be increased in line with the national cost of living pay award for Local Government employees until such time as the NLW has caught up. At that stage Hartlepool Living Wage will be set at the higher of the NLW, or the Hartlepool Living Wage updated by the Local Government annual pay award.</p>	(400)	(350)	(750)

	2018/19 Pressures /(Saving) £'000	2019/20 Pressures /(Saving) £'000	Total Pressures /(Saving) £'000
IT inflation reduction The existing contract includes an efficiency target based on limiting annual contract increases to RPI less 2.5%. As this increase is less than the inflation provision included in the MTFS forecasts a budget savings will be achieved for 2018/19. The position for 2019/20 will be reviewed, although a saving is not expected at this stage as inflation is forecast to increase.	(100)	0	(100)
General Fund inflation The provision for non pay inflation will be reduced from 2.5% to 2.4% for 2018/19.	(77)	0	(77)
Specific Grant regimes inflation A small number of recurring grant regimes are provided on a cash basis. The MTFS forecast include an inflation provision to ensure these services can be maintained. The amount required can be reduced.	(56)	0	(56)
Council Tax base Reflects an additional increase in the forecast growth in the Council Tax base for 2018/19.	(160)	0	(160)
New Home Bonus Reflects the impact of changes in the New Homes Bonus regime which reduces the national amount allocated and a reduction in the period this funding is paid for from 6 to 4 years.	245	15	260
Waste Contract Provision to meet increased costs of extending the existing contract to 2025.	80	0	80
Members Allowances Reflects full year impact of Independent Remuneration Panel recommendations.	74	0	74

	2018/19 Pressures /(Saving) £'000	2019/20 Pressures /(Saving) £'000	Total Pressures /(Saving) £'000
Income Risk Contingency This budget is allocated to manage corporate income risks and can be reduced for 2018/19. However, this is a temporary saving and needs to be replaced and top-up for 2019/20 to reflect increased risk and uncertainty in that year.	(150)	200	50
Total corporate savings/updated planning assumptions	(544)	(135)	(679)

FINANCE AND POLICY COMMITTEE

18th September 2017



Report of: Director of Regeneration and Neighbourhoods and
Director of Finance and Policy

Subject: COMMUNITY ENGAGEMENT AND COHESION
STRATEGY

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Budget and Policy Framework

2. PURPOSE OF REPORT

2.1 The purpose of this report is to present the draft Community Engagement and Cohesion Strategy to Members for them to agree it as a draft for consultation.

3. BACKGROUND

3.1 In Hartlepool we have a strong tradition of working with our communities to improve and develop services. As an organisation we recognise the importance of engagement in our work and the need for this to be delivered appropriately throughout our Departments through a single, organisational approach. We also recognise the importance of cohesion within our communities and our role in supporting and developing this.

3.2 The Community Engagement and Cohesion Strategy - set out in the budget and policy framework of the constitution under the remit of the Finance and Policy Committee - is a new strategy to be developed by the Council during 2017/18. Members of the committee agreed the purpose and remit of the strategy and also the timetable for development at their meeting on 10th July 2017.

4. PROPOSED DRAFT COMMUNITY ENGAGEMENT AND COHESION STRATEGY

4.1 The proposed draft Community Engagement and Cohesion Strategy for consultation is set out in **appendix 1**. The proposed vision for community engagement and cohesion in Hartlepool is that:

Hartlepool has a strong sense of community spirit where people from all backgrounds get along and work together to influence local decisions, respond to local needs and ensure that the town is a welcoming and inclusive place to live.

The proposed priorities for the Council in achieving this vision are:

- We will involve and listen to our communities.
- We support community action.
- We will build strong and inclusive communities.

- 4.2 The strategy has been informed by the views expressed last summer through Your Say, Our Future and the recent Voluntary and Community Sector Survey. It has also been developed to reflect what works well in Hartlepool and elsewhere and to build upon the strong foundations that are already in place in the town.
- 4.3 The strategy has been prepared in the style of a plan on a page. This is intended to ensure that the strategy is simple and easy to understand and can be used as an easy reference document.
- 4.4 An action plan will sit alongside the strategy to set out what specifically we will do to ensure that the vision of the strategy is delivered. Some examples of what might be included are set out within the draft strategy (appendix 1). The action plan will be further developed following the 8 week consultation and presented to Members with the updated draft strategy at the 8th January 2018 Committee meeting.

5. NEXT STEPS

- 5.1 Following approval of the draft strategy an 8 week consultation period will take place running until 17th November 2017. This consultation will include presentations to the Community Forums, discussion at the Your Say, Our Future roundtable events, an online survey and a presentation to the Safer Hartlepool Partnership.
- 5.2 The timetable for the next steps after this 8 week consultation period is as agreed by Committee on 10th July 2017:

Who	What	When
Finance and Policy Committee	Consider feedback from consultation and agree updated draft strategy for final consultation.	8 th January 2018
Consultation for 2 weeks – 12 th to 26 th January 2018		

Finance and Policy Committee	Consider feedback from consultation and agree final strategy for approval by Council.	12 th February 2018
Council	Consider final strategy for approval	15 th March 2018

- 5.3 It should be noted that this strategy has implications for all Policy Committees and as such this should be reflected in the constitution.

6. RISK IMPLICATIONS

- 6.1 There are no risk implications.

7. FINANCIAL CONSIDERATIONS

- 7.1 There are no financial considerations – all activity will be undertaken within existing resources.

8. LEGAL CONSIDERATIONS

- 8.1 There are no legal considerations.

9. CHILD AND FAMILY POVERTY

- 9.1 There are no child and family poverty implications at this stage.

10. EQUALITY AND DIVERSITY CONSIDERATIONS

- 10.1 We recognise the need to take into account the needs of vulnerable groups when engaging with the community. Any activity will consider the equality and diversity needs of all those with protected characteristics.

11. STAFF CONSIDERATIONS

- 11.1 Staff will be given every opportunity to engage and will be actively encouraged by the Council to do so.

12. ASSET MANAGEMENT CONSIDERATIONS

- 12.1 There are no asset management considerations.

13. RECOMMENDATIONS

- 13.1 Finance and Policy Committee is requested to consider and agree the draft Community Engagement and Cohesion Strategy for consultation as set out in appendix 1.

14. REASONS FOR RECOMMENDATIONS

- 14.1 Finance and Policy Committee is the responsible committee for the Community Engagement and Cohesion Strategy.

15. BACKGROUND PAPERS

- 15.1 Community Engagement and Cohesion Strategy – report to Finance and Policy Committee 10th July 2017.

16. CONTACT OFFICER

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Director of Finance and Policy
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Community Engagement and Cohesion Strategy 2018-2021

Introduction to consultation draft:

This is the first draft of our new Community Engagement and Cohesion Strategy and we would welcome your views. In developing this Strategy we have aimed to respond to the views expressed last summer through Your Say, Our Future and the recent Voluntary and Community Sector Survey. We have also looked at what works well in Hartlepool and elsewhere and set out to build upon the strong foundations that we already have in place.

An 8 week consultation on this draft will be open until Friday 17th November 2017 and there are a number of ways in which you can get involved:

Complete our online survey: TBC

Attend one of our Your Say, Our Future events: TBC

Attend the North and Coastal or South and Central Community Forum on 18th October 2017.

Please let us know what you think - we look forward to hearing your views.

Cllr Christopher Akers-Belcher
Leader of the Council

Gill Alexander
Chief Executive

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Engage – Support - Strengthen	4
Action Plan	5

Introduction

As a Council we appreciate that our society is changing. We live in a time when we have more connected people who are demanding greater participation in shaping the lives of their own communities. We recognise that the Council has a critical role to play in providing strong community leadership which enables our residents to participate in shaping Council priorities, influencing local decisions, designing and transforming services and taking individual or collective action to respond to local priorities.

One of the strengths of Hartlepool is its people and the sense of community that is evident wherever you go in the town. We recognise that one of our key roles as a Council is to harness this community spirit and local pride to improve the Borough and meet local needs. The Council alone cannot do everything that needs to be done to make Hartlepool the best it can be. We recognise that our communities are often better placed to understand what needs to be done in their area and also to put in place their own solutions. We need to join forces with our community and partners to achieve our ambition. As a town we all have a responsibility to look after our community and maximise the limited resources that we have on the right things.

As a Council we want to build upon the success of the Your Say, Our Future programme and roll this approach out across the Council. Our intention is to continue the Council's move towards more collaborative and participatory ways of working where our communities are able to get more involved or lead their own changes. We are keen to ensure that there is an open dialogue between the Council and our communities.

This Community Engagement and Cohesion Strategy sets out how the Council will work to:

- **engage** with our communities so that they can have an active role in shaping the future of our town by influencing local decisions and co-designing services
- **support** our communities to take part and deliver on local priorities by providing them with opportunities to develop their skills, confidence, and local networks
- **strengthen** the bonds between our communities, improve tolerance and understanding and reduce tensions

The following pages summarise what we will do, how we will do it and also how we will know if we have been successful. The final part of the strategy is our action plan which will identify what specific actions we will take in order to ensure the delivery of this strategy.

We will regularly monitor progress against the action plan and the identified measures of success and feed back to both elected members and our communities.

COMMUNITY ENGAGEMENT AND COHESION STRATEGY 2018 – 2021

OUR VISION	HARTLEPOOL HAS A STRONG SENSE OF COMMUNITY SPIRIT WHERE PEOPLE FROM ALL BACKGROUNDS GET ALONG AND WORK TOGETHER TO INFLUENCE LOCAL DECISIONS, RESPOND TO LOCAL NEEDS AND ENSURE THAT THE TOWN IS A WELCOMING AND INCLUSIVE PLACE TO LIVE.		
OUR PRIORITIES	WE WILL INVOLVE AND LISTEN TO OUR COMMUNITIES	WE WILL SUPPORT COMMUNITY ACTION	WE WILL BUILD STRONG AND INCLUSIVE COMMUNITIES
WHAT WILL WE DO?	<p>Working with our communities we will...</p> <ul style="list-style-type: none"> • Build and maintain good relationships and work to rebuild trust in those relationships that might have broken down. • Listen and respond to our communities focussing on developing solutions together. • Involve our communities at an early stage so that they can influence local decisions and help design services that meet local needs. • Work to understand our communities and their needs better. • Promote better communication between us ensuring that we have a two-way conversation. 	<p>Working with our communities we will...</p> <ul style="list-style-type: none"> • Strengthen individual, organisational and community capacity. • Build and strengthen opportunities for people to come together in their communities. • Build and develop the existing strengths within communities giving them the opportunities and support needed to develop. • Develop the skills, confidence and understanding of our communities so that they can tackle issues on their own or with our advice and support. • Support communities to take part and deliver improvements. 	<p>Working with our communities we will...</p> <ul style="list-style-type: none"> • Strengthen understanding and relationships to ensure that people from different backgrounds get on well together. • Promote better understanding between communities. • Celebrate and value diversity. • Tackle negative behaviour. • Reduce tensions and promote community confidence and tolerance.
HOW WILL WE DO IT?	<p>Our approach will include...</p> <ul style="list-style-type: none"> • Your Say, Our Future – we will hold a programme of roundtable events across the town and invite our communities to come along and discuss issues of town-wide importance. • Community Forums (North and Coastal and South and Central) – we will continue to develop our two Community Forums as focal points for local consultation on the provision of Council services and neighbourhood issues. • Hartlepool Online Panel – we will work to develop the online panel to promote our consultations to our community and we will improve our online presence through social media and the Council's website. • Community Hubs – these will provide face to face access to the Council across the town and will be the base for key consultation activities and outreach into our most vulnerable communities. • Consultation Groups – we will focus on reaching out to our communities through existing groups and channels and establish and strengthen relationships to ensure that dialogue is two-way. • Training – we will provide our elected members and staff training to improve and develop their communication and engagement skills. 	<p>Our approach will include...</p> <ul style="list-style-type: none"> • Community Hubs – One the roles of Community Hubs will be to develop and foster links with local community groups and provide space for communities to come together. • Infrastructure support – we will develop a new model for providing support to the voluntary and community sector. • Building community capacity and promoting social action – supporting and promoting opportunities for local people to contribute to their local community. We will work with local organisations, 'friends of' groups, volunteers and individuals and support them to come together to help improve their lives and their communities through social action. 	<p>Our approach will include...</p> <ul style="list-style-type: none"> • Hartlepool in Unity – a programme of positive activities supported by our Cohesion Officers. This will include events bringing people from different backgrounds together. • Better promotion of our Third Party Reporting Centres – to provide safe spaces for the reporting of hate crime so that negative behaviour can be addressed and tackled. • Victim Services Officer – providing support to those who do come forward to report hate crime. • Hartlepool Community Safety Team – development of a joint team involving the Council, Police and Fire Service who will work together to build safer communities. Focusing on vulnerable communities the team will intervene early to prevent problems from getting worse. • Training – we will develop equality and diversity training. • Promotion – we will promote key events and awareness days for equality and diversity and be a welcoming town for new arrivals.
WHAT WILL SUCCESS LOOK LIKE?	<p>We will know we're succeeding if...</p> <ul style="list-style-type: none"> • More people feel that they can influence decisions that affect their local area. • More people attend our Your Say, Our Future events. • More people sign up to the Hartlepool Online Panel. • More people are turning out to vote at local elections. 	<p>We will know we're succeeding if...</p> <ul style="list-style-type: none"> • More people are using the Community Hubs. • We have a strong and active voluntary and community sector. • More people are satisfied with their local area. 	<p>We will know we're succeeding if...</p> <ul style="list-style-type: none"> • More people agree that people from different ethnic backgrounds get on well together. • More people feel that they belong to their local area. • More people feel part of the local community. • There are more reported incidents of hate crime because people have the confidence to report it. • There are fewer repeat victims of hate crime.

Action Plan – this will be completed following the 8 week consultation but some examples of what might be included are set out below:

ENGAGE

What?	Who?	When?
Agree the annual programme for Your Say, Our Future roundtable events	Performance & Partnerships Manager	April 2018
Review the Council's approach to public involvement and participation	Performance & Partnerships Manager	July 2018

DEVELOP

What?	Who?	When?
Review the new model for providing support to the voluntary and community sector	Community Safety & Engagement Manager	October 2018

STRENGTHEN

What?	Who?	When?
Agree the annual Hartlepool in Unity programme of activity	Community Safety & Engagement Manager	May 2018
Undertake a promotion campaign against hate crime and promoting the Third Party Reporting Centres	PR Manager	June 2018

FINANCE AND POLICY COMMITTEE

18 September 2017



Report of: Interim Director of Public Health

Subject: HEALTH AND WELLBEING STRATEGY (2018 - 2025)

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Budget and Policy Framework.

2. PURPOSE OF REPORT

2.1 The purpose of this report is to present to Cabinet the draft joint Hartlepool Health and Wellbeing Strategy (JHWS) for comment.

3. BACKGROUND

3.1 As previously indicated, the Health and Social Care Act 2012 requires the Local Authority, with partner agencies including the NHS, to develop a joint Health and Wellbeing Strategy based on the Joint Strategic Needs Assessment (JSNA). The Health and Wellbeing Strategy (2013-2018) was developed in 2012-2013 in order to comply with this statutory requirement.

3.2 In complying with the requirements of the Health and Social Care Act 2012, and in order to ensure that the Strategy is fit for purpose and effectively reflects local priorities, the Health and Wellbeing Board (HWB) at its meeting on the 13 March 2017, approved the refresh of the Strategy and the creation of a detailed Project Plan / Timetable to enable completion of the refresh process in line with the required deadline. A further meeting of the HWB, on the 26 June 2017, approved the following priority areas as the focus for the Strategy and consultation process:

- Starting Well – maternal health, children and young people;
- Working Well – workplace health, getting into work, poverty;
- Ageing Well – isolation, dementia, long term conditions, older people; and
- Living Well – lifestyle issues, mental health, prevention.

3.3 Following the public consultation, a further priority area has been identified and included as 'Dying well'.

- 3.4 The HWB, at its meeting on the 26 June 2017, also approved the Project Plan / Timetable outlined in Table 1 (over the page) for completion of the refresh.

Table 1 - Project Plan

June - July 2017	Consult on priorities to inform development of 1st draft of Strategy. Self Completion Survey: 27 June/12 July - Covering all themes:- <ul style="list-style-type: none"> • Starting Well • Working Well • Ageing Well • Living Well 	Complete
WC 10 July 2017	Public Consultation on priorities to inform development of 2nd draft of Strategy:- Events in each Community Hub:- <ul style="list-style-type: none"> • West View – 14 July 2017 (10.00am) • Owton Manor – 11 July (1.30pm) • Central Library – 10 July (10.00am) 	Complete
18 July 2017	Member / Partner Consultation on priorities to inform development of 3rd draft of Strategy.	Complete
Sept 2017	Consult partners on draft of Strategy and agree for consultation, including specifically:- <ul style="list-style-type: none"> • Health and Wellbeing Board (4 Sept 2017) • Finance and Policy Committee (18 Sept 2017) • Audit & Governance Committee (20 Sept 2017) • Children's Strategic Partnership (26 Sept 2017) • Hartlepool and Stockton CCG (26 Sept 2017) 	
	2 nd Member / Partner Consultation (4 Sept 2017) Asylum Seeker / Refugee Group (25 Sept 2017) Voluntary and Community Sector (date TBC) Youth Council (TBC)	
Oct 2017	Consult on final draft of Strategy:- <ul style="list-style-type: none"> • Self Completion Questionnaire (paper and online throughout October 2017) • HBC Community Forums (18 October 2017) 	
Dec 2017 - Jan 2018	Agree final draft of Strategy:- <ul style="list-style-type: none"> • Health & Wellbeing Board (4 December 2017) • Audit & Governance Committee (6 Dec 2017) • Finance & Policy Committee (8 January 2018) • Hartlepool & Stockton CCG (30 January 2018) *Equality and poverty impact assessments to be undertaken for consideration alongside the Strategy.	
March 2018	Formal approval of the Strategy:- <ul style="list-style-type: none"> • HBC Full Council (15 March 2018) • Hartlepool and Stockton CCG (27 March 2018) 	

4. CONSULTATION FEEDBACK

4.1 The initial phase of consultation commenced on the 26th June 2017 and closed on the 16 July 2017. The consultation was undertaken across a range of venues and an online survey, with participation promoted via:

i) Press release

ii) Social media:-

Facebook

Tuesday 27 June – 3,795 people reached

Tuesday 4 July – 858 people reached

Twitter

Tuesday 27 June – 1,322 people reached

Tuesday 4 July – 453 people reached

iii) Invitations to complete survey and attend events sent to:

- All Cllrs, HBC Staff and HWB members
- Local Pressure Groups (NEED & Fighting for UHH)
- Posters in all LA buildings, UHH and the One Life Centre
- Posters placed in GP surgeries through the GP Federation
- All HWB partners asked to publicise with their staff
- The Youth Council, all schools, existing adult forums (e.g. the Learning Disability partnership Board and the Mental Health Forum) and community groups (inc. minority groups)
- Advertised in the Civic Centre and each of the Community Hubs
- HOP Panel

iv) Consultation workshop held at the health watch annual general meeting in July – Key priorities identified were support for carers, transport, social isolation and dying well.

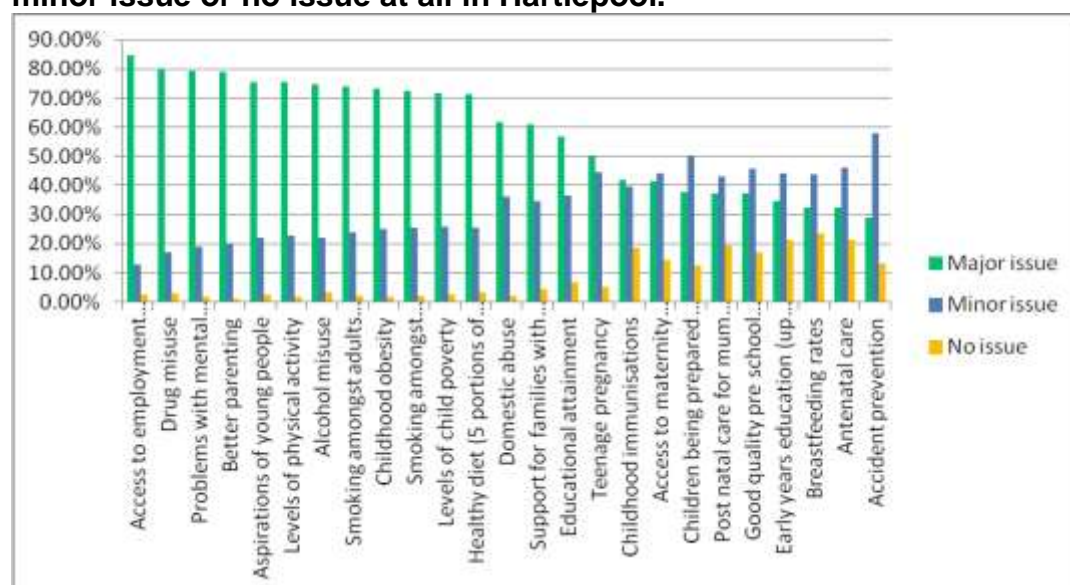
4.2 A copy of the survey is attached at **Appendix A**. A total of 30 residents took part in 3 community workshops and 247 participants completed the survey (online and paper), with responses received from all Wards. A breakdown is provided in the Table 1 below.

Table 1 – Ward Breakdown (44 people skipped this question)

Burn Valley Ward	14.78%	30
De Bruce Ward	9.85%	20
Fens and Rossmere Ward	7.39%	15
Foggy Furze Ward	3.45%	7
Hart Ward	12.32%	25
Headland and Harbour Ward	4.43%	9
Jesmond Ward	4.93%	10
Manor House Ward	2.96%	6
Rural West Ward	11.33%	23
Seaton Ward	9.85%	20
Victoria Ward	5.91%	12
I don't live in Hartlepool	12.81%	26

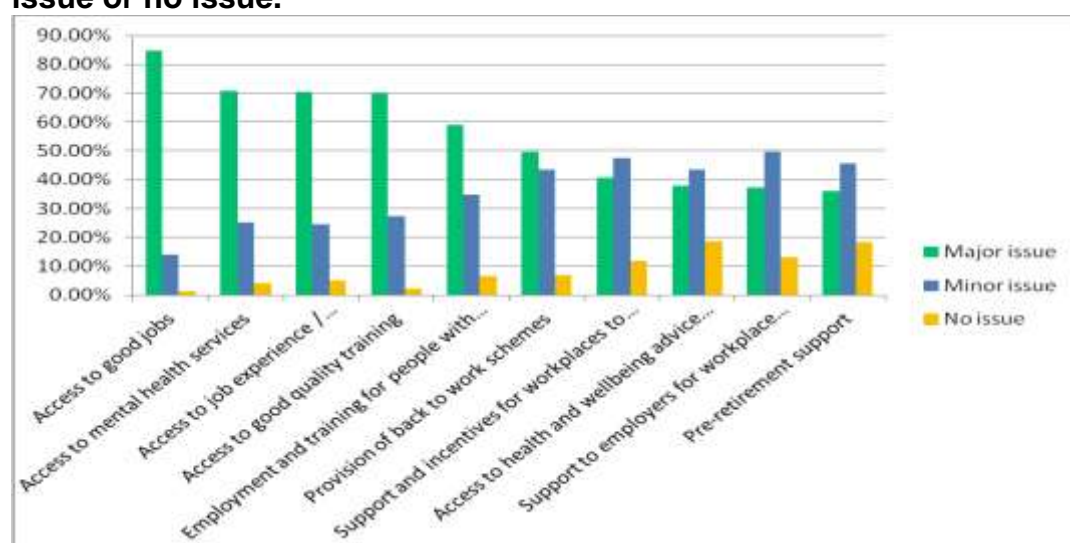
- 4.3 The survey focused on the four priority areas, agreed by the Health and Wellbeing Board in June 2017, and identified a number of key issues that could potentially impact / influence peoples chances of 'starting well', 'working well', 'ageing well' or 'living well' in Hartlepool. Those who completed the survey were asked to consider whether these are major / minor factor or no issue in Hartlepool.
- 4.4 A detailed breakdown of the results of the consultation is attached at **Appendix B** and a summary of key findings outlined below.

Question 1 - Thinking about starting well in life, please consider each of the issues below and identify whether you think it is a major issue, minor issue or no issue at all in Hartlepool.



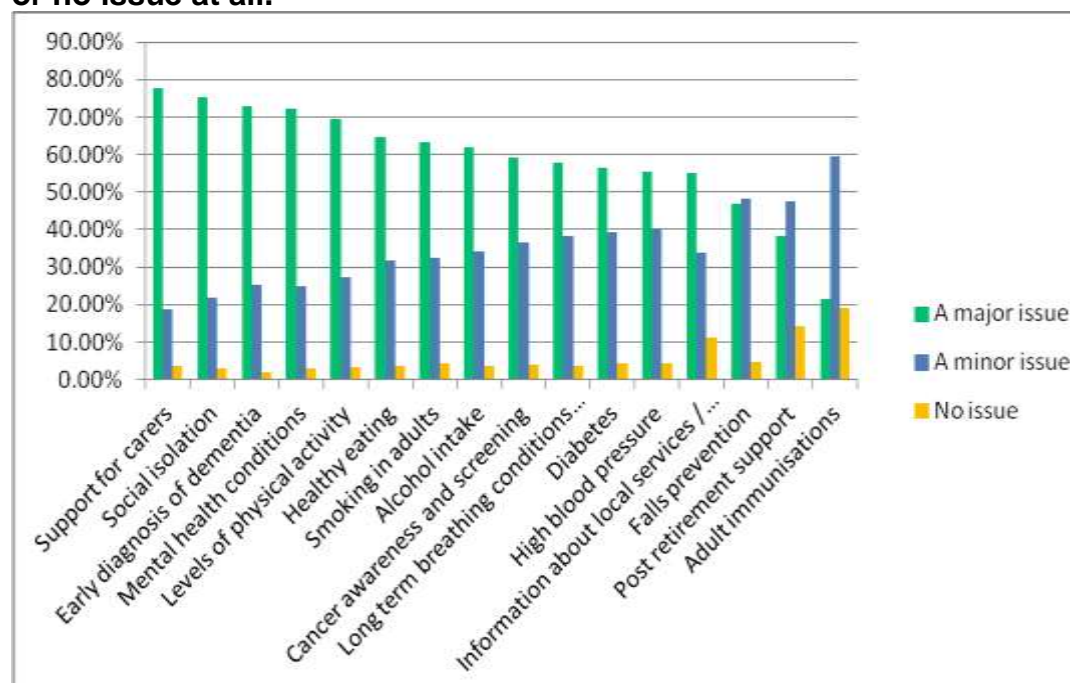
- 4.5 Respondents identified employment, parenting, drug misuse and mental health as the highest priority topics for action under starting well.

Question 2 - Thinking about working well, please consider each of the issues below and identify if you think they are a major issue, minor issue or no issue.



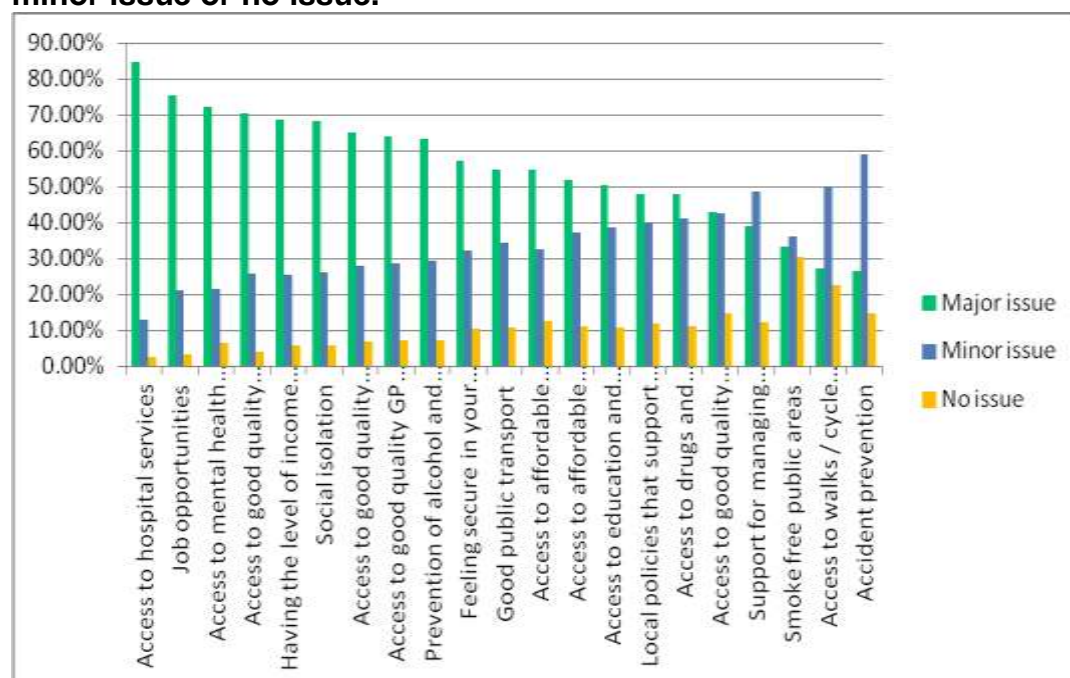
- 4.6 Respondents identified access to good jobs and mental health services as the highest priority topics for action under working well.

Question 3 - Thinking about ageing well, please consider the issues identified below and whether you think it's a major issue, a minor issue or no issue at all.



- 4.7 Respondents identified support for carers, social isolation, dementia and mental health as the highest priority topics for action under ageing well.

Question 4 - Thinking about living well, please consider the issues outlined below and identify whether you think they are a major issue, minor issue or no issue.



4.8 Respondents identified access to hospital services, jobs and mental health as the highest priority topics for action under living well.

4.9 The round table discussion with partners of the HWB also identified cross cutting themes that will ensure new ways of working.

These themes are:

- Build up the local workforce to ‘make every contact count’;
- Use local intelligence to target actions and reduce inequalities;
- Build the voluntary and community sector offer as an asset;
- Target media campaigns through the use of market segmentation; and
- Work with academic institutions to utilize action research and embed continuous improvement.

4.10 Further consultation sessions have been arranged with BME and children and young people groups and will be held in September.

4.11 As indicated in Table 1, consultation with partners on the draft Strategy is taking place in September 2017, commencing with the Health and Wellbeing Board. Following consideration of the draft Strategy on the 4 September 2017, the Health and Wellbeing Board expressed support for its content and agreed that its views / comments would be fed in to the finalisation of the draft for consultation in October 2017 (as detailed in Table 1 above). On this basis, the draft Strategy circulated for consideration at today’s meeting has been updated to reflect the views / comments of the Health and Wellbeing Board and its partners.

5. PROPOSALS

5.1 All of the information obtained throughout the consultation process, has been utilised in the development of the draft Joint Health and Wellbeing Strategy (2018-2025). A copy of the draft is attached at **Appendix C** (to follow).

5.2 No options are submitted for considered other than the recommendations.

6. RISK IMPLICATIONS

6.1 Failure to meet the timetable necessary for the production of a refreshed Joint Health and Wellbeing Strategy, by March 2018, as required by statute.

7. FINANCIAL CONSIDERATIONS

7.1 There are no financial considerations – all activity will be undertaken within existing resources.

8. CONSULTATION

- 8.1 See Section 3 above.

9. LEGAL CONSIDERATIONS

- 9.1 The Health and Social Care Act 2012 requires the Local Authority, along with partner agencies including the NHS, to develop a joint Health and Wellbeing Strategy based on the Joint Strategic Needs Assessment (JSNA).

10. CHILD AND FAMILY POVERTY

- 10.1 The joint Health and Wellbeing Strategy aims to deliver: improved training and employment for people with disability/mental health/long-term conditions, training and employment for young people and programmes to reduce Poverty. The Child and Family Poverty Impact Assessment is included as **Appendix D** (to follow).

11. EQUALITY AND DIVERSITY CONSIDERATIONS

- 11.1 The joint Health and Wellbeing Strategy aims to have a positive impact on the whole population of Hartlepool. In relation to the protected groups identified in the Equality Act, there are key deliverables focusing on improving outcomes for young people, older people and those with disabilities. Targeted projects contained within the strategy focus on mental health / emotional wellbeing, drugs and alcohol harm, health inequalities (inc. domestic abuse and poverty) and dying well, delivering ways of working that:

- Make every contact count;
- Use local intelligence to effectively target groups and places where there is the greatest need;
- Work better with, and build, the voluntary and community sector (VCS) offer as an asset; and
- Target our media campaigns so that the right messages reach the right people.

- 11.2 The Equality Impact Assessment is included as **Appendix E** (to follow).

12. STAFF CONSIDERATIONS

- 12.1 There are no staffing considerations.

13. ASSET MANAGEMENT CONSIDERATIONS

- 13.1 There are no asset management considerations.

14. RECOMMENDATIONS

14.1 That the Finance and Policy Committee:

- (i) Note the results of the recent consultation exercise and seek clarification sought, as and where required; and
- (ii) Considers if it wishes to recommend any additions / changes to the draft Joint Health and Wellbeing Strategy (JHWS) prior to formal consultation; and
- (iii) Approve the draft Joint Health and Wellbeing Strategy (JHWS) of formal consultation in October 2017.

15. REASONS FOR RECOMMENDATIONS

- 15.1 This draft strategy is a key requirement as part of the changes to NHS in the light of the Health and Social Care Act 2012.

16. BACKGROUND PAPERS

Report to Cabinet July 2012 regarding consultation process for Health and Wellbeing Strategy
Report to Cabinet October 2012 regarding first draft of Health and Wellbeing Strategy
Report to Cabinet January 2013 on second draft of Health and Wellbeing Strategy
Report to Cabinet March 2013 on final draft of Health and Wellbeing Strategy
Health and Wellbeing Board – 13 March 2017 and 26 June 2017 (reports and minutes)

17. CONTACT OFFICER

Dr Paul Edmondson-Jones MBE
Interim Director of Public Health
Hartlepool Borough Council
Email: paul.edmondson-jones@hartlepool.gov.uk

Joint Health and Wellbeing Strategy 2018-2025

Hartlepool's Health and Wellbeing Board is a statutory partnership and a committee of the council with the responsibility to address the health and wellbeing needs of Hartlepool and help reduce health inequalities. The Board are currently reviewing and reshaping the Health and Wellbeing Strategy for Hartlepool and are keen that as many people as possible feed into this process. We would be most grateful if you could help us by taking the time to complete this survey, which will help us to develop our first draft for further consultation.

The survey will close on the 16th July 2017.

If you would like any further information on the Health and Wellbeing Strategy or would like to be kept informed of upcoming consultation events relating to the strategy then please contact Joan Stevens at Joan.stevens@hartlepool.gov.uk

Joint Health and Wellbeing Strategy 2018-2025

Starting well – All Children and Young People living in Hartlepool have the best start in life.

Children who grow up in loving and supportive families are most likely to be happy, healthy and safe. Life experiences involve critical transitions - emotional and physical changes in early childhood; moving from primary to secondary and tertiary education; starting work; leaving home and starting a family; and retirement. Each transition stage can affect health and wellbeing by pushing people into more or less disadvantaged paths. Children and Young people who have been disadvantaged in the past are at the greatest risk and their children are more likely to be also disadvantaged.

We want to ensure access to high quality universal services such as health care and education; early intervention when needed, and targeted support for children, young people and families who are in difficulties. We want to prevent children and young people from developing emotional problems; having to live in poverty, or where they or their families are affected by abuse, violence or misuse of substances, so that we prevent problems being passed from generation to generation.

1. Thinking about starting well in life, please consider each of the issues below and identify whether you think it is a major issue, minor issue or no issue at all in Hartlepool.

	Major issue	Minor issue	No issue
Levels of child poverty	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Breastfeeding rates	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Smoking amongst adults (Second hand smoke for children)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Smoking amongst pregnant women	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Better parenting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Children being prepared for moving into school	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Healthy diet (5 portions of fruit / veg a day)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Childhood obesity	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Levels of physical activity	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Support for families with complex needs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Good quality pre school childcare	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Major issue	Minor issue	No issue
Childhood immunisations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to maternity services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Early years education (up to age 5)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Antenatal care	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Post natal care for mum and child	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Educational attainment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Aspirations of young people	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to employment and training	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Teenage pregnancy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Alcohol misuse	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Drug misuse	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Problems with mental health	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Domestic abuse	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Accident prevention	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Are there any other issues you would like to add?

Joint Health and Wellbeing Strategy 2018-2025

Working well - Work Places in Hartlepool Borough promote and support healthy living.

Access to fulfilling, paid work has long been a significant determinant of people's wellbeing. Economically, fulfilling work provides a secure income, while in social terms, such work can offer a sense of purpose, social connections and personal agency. People who are economically less well-off have substantially shorter life expectancy and more illnesses than those in meaningful employment. In addition, supporting those who work to be healthy and well involves commitment by employers (public, private and voluntary) to promote a working environment and culture that will help employees embed decisions made for healthy lifestyle practices. We want workplaces in Hartlepool to be healthy places with supportive practices and environments that enable employees sustain healthy lifestyle choices. Also we want to work with our communities to support people into fulfilling employment for positive health and wellbeing gains.

2. Thinking about working well, please consider each of the issues below and identify if you think they are a major issue, minor issue or no issue.

	Major issue	Minor issue	No issue
Access to good jobs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to good quality training	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to mental health services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provision of back to work schemes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Employment and training for people with disabilities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to job experience / apprenticeships for young people	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Support to employers for workplace healthy lifestyle schemes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to health and wellbeing advice and / or support in the workplace	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Support and incentives for workplaces to adopt healthy working practices	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Pre-retirement support	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Are there any other issues you would like to add?

Joint Health and Wellbeing Strategy 2018-2025

Ageing Well – Older People in Hartlepool live active and independent lives.

Similar to most areas in England, the proportion of older people in Hartlepool is increasing. For instance the number of people who were aged 85 years or more in 2005 was 1,400, this increased to 2,100 by 2015 and will continue to increase to 3,330 by 2025 and to 4,700 by 2035. Although most people are living longer, the majority of their latter years (approximately 20years for males; and 26years for females) are lived with poor health and wellbeing. We want to support older people to develop and maintain health and independence as long as possible so that they can live life to the full. When people start to develop a long-term health problem, we want to focus on preventing them from developing further health and social problems. We want to see local services focused on those who have the greatest need, to reduce health inequality and to enable a greater focus on prevention of ill health.

3. Thinking about ageing well, please consider the issues identified below and whether you think its a major issue, a minor issue or no issue at all.

	A major issue	A minor issue	No issue
Healthy eating	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Alcohol intake	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Levels of physical activity	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Cancer awareness and screening	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Mental health conditions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Social isolation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Diabetes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
High blood pressure	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Adult immunisations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Smoking in adults	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Early diagnosis of dementia	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Support for carers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Falls prevention	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Long term breathing conditions such as bronchitis	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Information about local services / support	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Post retirement support	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Are there any other issues you would like to add?

Joint Health and Wellbeing Strategy 2018-2025

Living well –Hartlepool is a Safe and Healthy place to live with strong communities.

Enabling those who live in Hartlepool to be healthy and well for a life time involves much more than good health and social care services. Many different things impact on health and wellbeing – housing, jobs, leisure, sport & access to open spaces, education, health services and transport. We want Hartlepool to be a healthy place with supportive neighbourhoods and communities which are strong and resourceful, making best use of their community assets.

4. Thinking about living well, please consider the issues outlined below and identify whether you think they are a major issue, minor issue or no issue.

	Major issue	Minor issue	No issue
Access to good quality affordable housing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to good quality open spaces	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to good quality GP services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to good quality primary care services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to hospital services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to drugs and alcohol services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to mental health services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Support for managing finances / accessing benefits	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Good public transport	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Social isolation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Feeling secure in your own home	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to education and training opportunities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Having the level of income needed for leading a healthy life	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Job opportunities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Major issue	Minor issue	No issue
Local policies that support healthy living	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Accident prevention	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Prevention of alcohol and substance misuse	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to walks / cycle paths	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to affordable healthy food	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Smoke free public areas	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to affordable physical activity opportunities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Are there any other issues you would like to add?

Joint Health and Wellbeing Strategy 2018-2025

About you.

The following questions are entirely optional, but it would help us to understand your answers a bit better if you complete them. If you don't want to answer a question, please feel free to miss it out and move onto the next one.

5. Are you....

- ☐ Male
- ☐ Female

6. Please indicate what age bracket you are in.....

- ☐ Under 18
- ☐ 18 - 24
- ☐ 25 - 34
- ☐ 35 - 44
- ☐ 45 - 54
- ☐ 55 - 64
- ☐ 65+

7. Do you consider yourself to have a disability?

- ☐ Yes
- ☐ No

8. What is your ethnic origin?

- ☐ White
- ☐ Mixed / multiple ethnic groups
- ☐ Asian or Asian British
- ☐ Black, African, Caribbean or Black British
- ☐ Other Ethnic Group

Joint Health and Wellbeing Strategy 2018-2025

9. And finally.....could you please tell us which Ward you live in?

- ☐ Burn Valley Ward
- ☐ De Bruce Ward
- ☐ Fens and Rossmere Ward
- ☐ Foggy Furze Ward
- ☐ Hart Ward
- ☐ Headland and Harbour Ward
- ☐ Jesmond Ward
- ☐ Manor House Ward
- ☐ Rural West Ward
- ☐ Seaton Ward
- ☐ Victoria Ward
- ☐ I don't live in Hartlepool

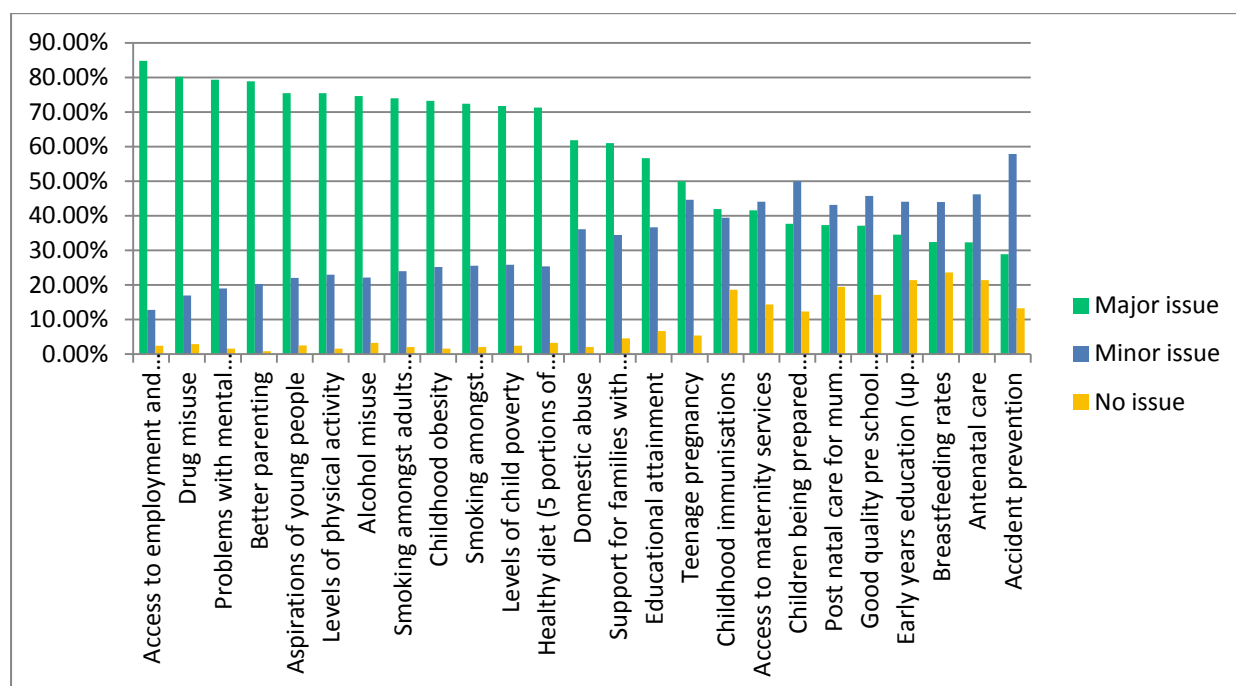
Hartlepool Joint Health and Wellbeing Strategy 2018 – 2025

Summary of responses to online survey

Question1 - Thinking about starting well in life, please consider each of the issues below and identify whether you think it is a major issue, minor issue or no issue at all in Hartlepool.

Rank	Issue	Major issue		Minor issue		No issue		Total
1	Access to employment and training	84.77%	206	12.76%	31	2.47%	6	243
2	Drug misuse	80.17%	194	16.94%	41	2.89%	7	242
3	Problems with mental health	79.34%	192	19.01%	46	1.65%	4	242
4	Better parenting	78.90%	187	20.25%	48	0.84%	2	237
5	Aspirations of young people	75.42%	181	22.08%	53	2.50%	6	240
6	Levels of physical activity	75.41%	184	22.95%	56	1.64%	4	244
7	Alcohol misuse	74.59%	182	22.13%	54	3.28%	8	244
8	Smoking amongst adults (Second hand smoke for children)	73.98%	182	23.98%	59	2.03%	5	246
9	Childhood obesity	73.17%	180	25.20%	62	1.63%	4	246
10	Smoking amongst pregnant women	72.36%	178	25.61%	63	2.03%	5	246
11	Levels of child poverty	71.72%	175	25.82%	63	2.46%	6	244
12	Healthy diet (5 portions of fruit / veg a day)	71.31%	174	25.41%	62	3.28%	8	244
13	Domestic abuse	61.83%	149	36.10%	87	2.07%	5	241
14	Support for families with complex needs	61.00%	147	34.44%	83	4.56%	11	241
15	Educational attainment	56.67%	136	36.67%	88	6.67%	16	240
16	Teenage pregnancy	50.00%	121	44.63%	108	5.37%	13	242
17	Childhood immunisations	41.91%	101	39.42%	95	18.67%	45	241
18	Access to maternity services	41.56%	101	44.03%	107	14.40%	35	243
19	Children being prepared for moving into school	37.70%	92	50.00%	122	12.30%	30	244
20	Post natal care for mum and child	37.34%	90	43.15%	104	19.50%	47	241
21	Good quality pre school childcare	37.14%	91	45.71%	112	17.14%	42	245
22	Early years education (up to age 5)	34.57%	84	44.03%	107	21.40%	52	243
23	Breastfeeding rates	32.37%	78	43.98%	106	23.65%	57	241
24	Antenatal care	32.35%	77	46.22%	110	21.43%	51	238
25	Accident prevention	28.93%	70	57.85%	140	13.22%	32	242
26	Are there any other issues you would like to add?							20

Answered 247
Skipped 0

Question 1 graph showing perceived bigger issues left to right.**Additional comments received:-**

- Sex education in schools is poor
- The connections between these major issues and the crumbling infrastructure of the town need to be explored.
- isolation in the community
- Child mental health / emotional wellbeing as opposed to adult
- I feel as though there is little pride in peoples neighbourhood, far too many areas of the town that are neglected by both the Council and residents.
- General health and fitness including problem with obesity are very obvious. Lack of work ethic and opportunities, lack of support is also very obvious. The council are just intent on making themselves look good and are not looking at the root problems with the town. Drug and alcohol issues are also sky high.
- All of these issues need to be addressed but interventions should be sympathetic.
- Cannot say the above is for all families just ones who need help
- Internet grooming of children
- How to raise parents' awareness of major issues which may affect their children.
- yes get our GENERAL HOSPITAL all our services back
- Issues around school meals not been as healthy as they could be, not promoting healthy eating to the children.
- Local hospital with wider range of services needed
- smoking/vaping children is an issue
- All of the issues mentioned are relevant and to me, are either a minor or a major issue. I believe government cuts and austerity have major effects on Hartlepool and on the North East as a whole. I also believe anti-social behaviour to be an issue, along with hate crime and discrimination acts being committed against minority groups.
- I think speeding is a massive issue in our town. People speed all over the town. Areas I can think of is the round about near the main Tesco before it turns to 40! People do 40 anyway, the road to the headland people go 45-50. It's just ridiculous the amount of people that speed it's no wonder we have so many road accidents to be honest!
- Hartlepool Borough Council should butt out of trying to socially engineer life outcomes. We've already got a system in place for this called parenting.
- What is the council going to do to address the quality of secondary education in the town

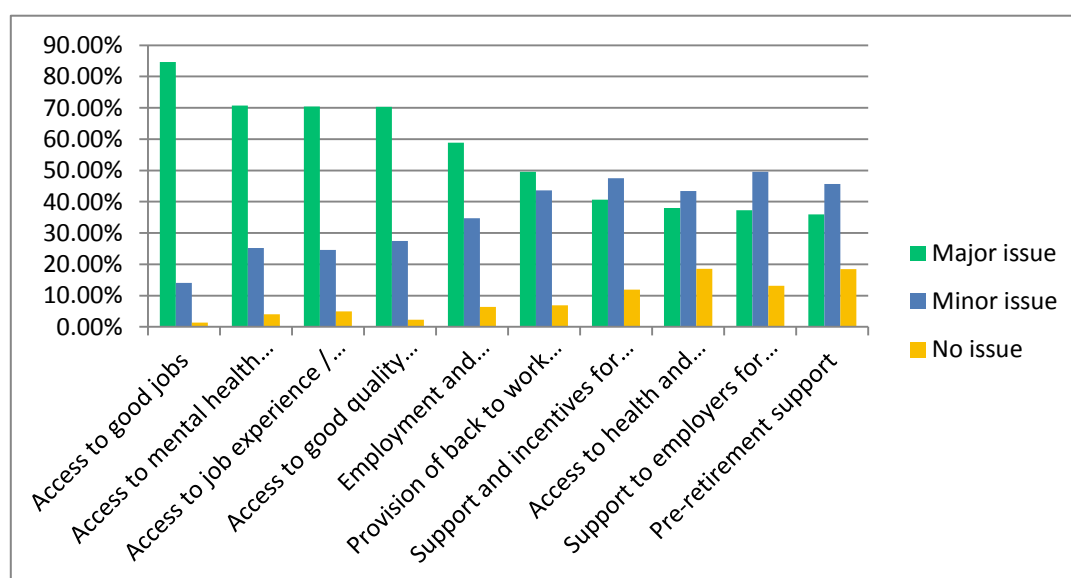
Question 2 - Thinking about working well, please consider each of the issues below and identify if you think they are a major issue, minor issue or no issue.

Rank	Issue	Major issue		Minor issue		No issue		Total
1	Access to good jobs	84.62%	187	14.03%	31	1.36%	3	221
2	Access to mental health services	70.72%	157	25.23%	56	4.05%	9	222
3	Access to job experience / apprenticeships for young people	70.45%	155	24.55%	54	5.00%	11	220
4	Access to good quality training	70.27%	156	27.48%	61	2.25%	5	222
5	Employment and training for people with disabilities	58.90%	129	34.70%	76	6.39%	14	219
6	Provision of back to work schemes	49.54%	108	43.58%	95	6.88%	15	218
7	Support and incentives for workplaces to adopt healthy working practices	40.64%	89	47.49%	104	11.87%	26	219
8	Access to health and wellbeing advice and / or support in the workplace	38.01%	84	43.44%	96	18.55%	41	221
9	Support to employers for workplace healthy lifestyle schemes	37.27%	82	49.55%	109	13.18%	29	220
10	Pre-retirement support	35.94%	78	45.62%	99	18.43%	40	217
11	Are there any other issues you would like to add?							12

Answered 222

Skipped 25

Question 2 - Graph



Additional comments received:

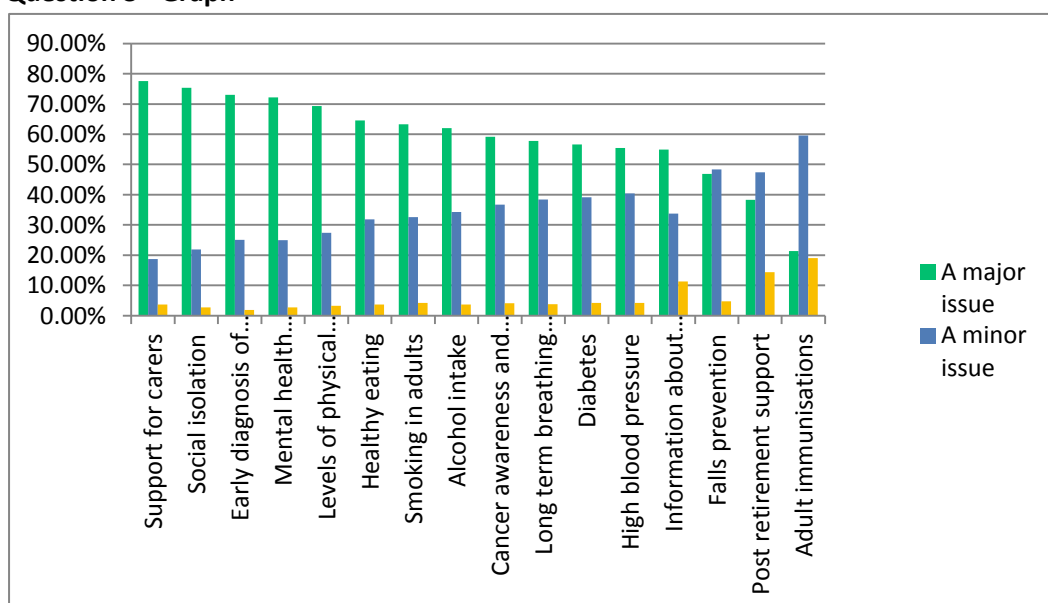
- Lack of support for Deaf people wanting to work. There is no BSL support provided by the job centre to help Deaf people apply for jobs.
- One of the keys to genuine regeneration in Hartlepool is having decent employment prospects
- Not enough work places for students completing courses
- Access to children's mental health services / support
- There is a fantastic workplace health scheme that employers don't see the importance or benefit to buy into. it is not seen as a priority
- Should be more incentives to get people to work as opposed to claiming benefits, far too easy to sit at home.
- It's a waste of time having work schemes when there are no jobs in the area. You could educate everyone to Professor level but if there are no jobs it's pointless. We need schemes to attract potential employers.
- Transport barriers to access work/training
- Encouragement to schools to participate in work-experience programmes for year 11 pupils.
- Hartlepool Borough Council should butt out of trying to provide or even signpost these things. The free market has them covered.

Question 3 - Thinking about ageing well, please consider the issues identified below and whether you think it's a major issue, a minor issue or no issue at all.

Rank	Issue	A major issue		A minor issue		No issue		Total
1	Support for carers	77.57%	166	18.69%	40	3.74%	8	214
2	Social isolation	75.35%	162	21.86%	47	2.79%	6	215
3	Early diagnosis of dementia	73.02%	157	25.12%	54	1.86%	4	215
4	Mental health conditions	72.22%	156	25.00%	54	2.78%	6	216
5	Levels of physical activity	69.30%	149	27.44%	59	3.26%	7	215
6	Healthy eating	64.52%	140	31.80%	69	3.69%	8	217
7	Smoking in adults	63.26%	136	32.56%	70	4.19%	9	215
8	Alcohol intake	62.04%	134	34.26%	74	3.70%	8	216
9	Cancer awareness and screening	59.17%	129	36.70%	80	4.13%	9	218
10	Long term breathing conditions such as bronchitis	57.82%	122	38.39%	81	3.79%	8	211
11	Diabetes	56.60%	120	39.15%	83	4.25%	9	212
12	High blood pressure	55.40%	118	40.38%	86	4.23%	9	213
13	Information about local services / support	54.93%	117	33.80%	72	11.27%	24	213
14	Falls prevention	46.92%	99	48.34%	102	4.74%	10	211
15	Post retirement support	38.28%	80	47.37%	99	14.35%	30	209
16	Adult immunisations	21.40%	46	59.53%	128	19.07%	41	215
17	Are there any other issues you would like to add?							6

Answered 218
Skipped 29

Question 3 - Graph



Additional comments received:

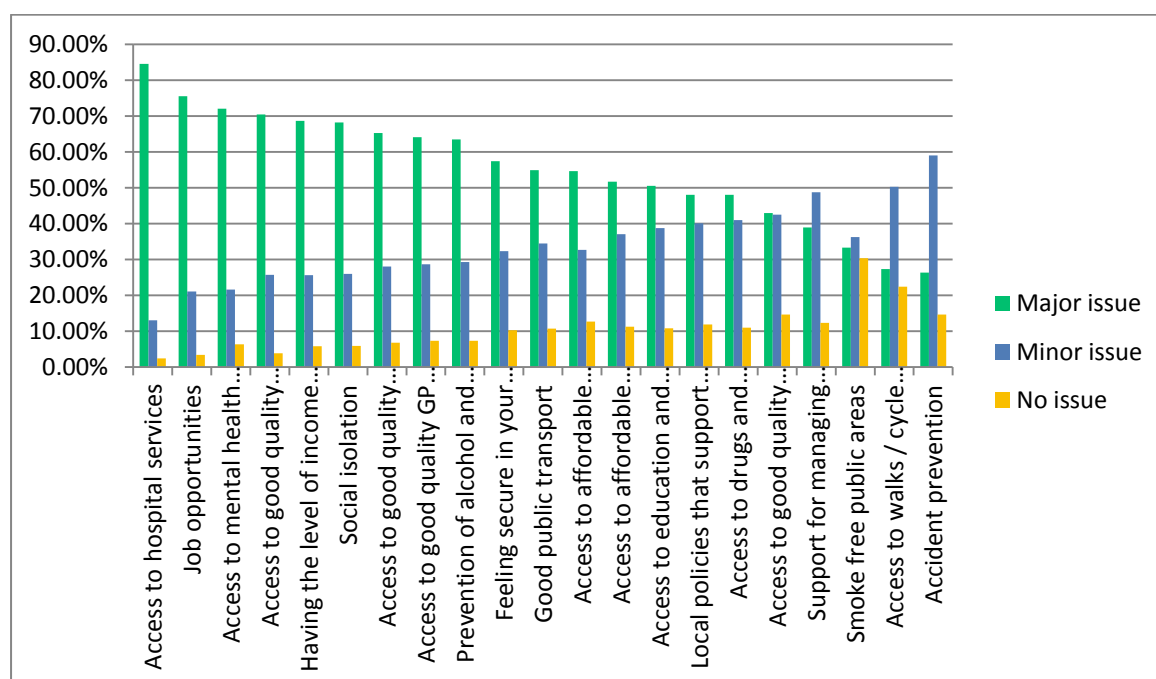
- All important issues but people need encouragement to eat well and stay active rather than being bombarded with information.
- Increase awareness/provision of/use of /access to lunch-clubs for the elderly to reduce isolation and encourage healthy eating.
- Over the past 2 years services and communication have got worse in Hartlepool. LA workers do not seem to be aware of services available to people. Local authority does not seem to know how to communicate with different departments or lack the knowledge to sign post to other departments or services. This impacts our community and fails vulnerable families and individuals.
- I think this questionnaire is misleading : major issue or minor issue or no issue? surely it depends which services I use or am likely to use?
- Hartlepool Borough Council should butt out of trying here. A market based health system, like in every EU country except the UK and Malta can deal with all of these.

Question 4 - Thinking about living well, please consider the issues outlined below and identify whether you think they are a major issue, minor issue or no issue.

Rank	Issue	Major issue		Minor issue		No issue		Total
1	Access to hospital services	84.54%	175	13.04%	27	2.42%	5	207
2	Job opportunities	75.49%	154	21.08%	43	3.43%	7	204
3	Access to mental health services	72.06%	147	21.57%	44	6.37%	13	204
4	Access to good quality primary care services	70.39%	145	25.73%	53	3.88%	8	206
5	Having the level of income needed for leading a healthy life	68.60%	142	25.60%	53	5.80%	12	207
6	Social isolation	68.14%	139	25.98%	53	5.88%	12	204
7	Access to good quality affordable housing	65.22%	135	28.02%	58	6.76%	14	207
8	Access to good quality GP services	64.08%	132	28.64%	59	7.28%	15	206
9	Prevention of alcohol and substance misuse	63.41%	130	29.27%	60	7.32%	15	205
10	Feeling secure in your own home	57.35%	117	32.35%	66	10.29%	21	204
11	Good public transport	54.85%	113	34.47%	71	10.68%	22	206
12	Access to affordable healthy food	54.63%	112	32.68%	67	12.68%	26	205
13	Access to affordable physical activity opportunities	51.71%	106	37.07%	76	11.22%	23	205
14	Access to education and training opportunities	50.49%	103	38.73%	79	10.78%	22	204
15	Local policies that support healthy living	48.02%	97	40.10%	81	11.88%	24	202
16	Access to drugs and alcohol services	48.00%	96	41.00%	82	11.00%	22	200
17	Access to good quality open spaces	42.93%	88	42.44%	87	14.63%	30	205
18	Support for managing finances / accessing benefits	38.92%	79	48.77%	99	12.32%	25	203
19	Smoke free public areas	33.33%	68	36.27%	74	30.39%	62	204
20	Access to walks / cycle paths	27.32%	56	50.24%	103	22.44%	46	205
21	Accident prevention	26.34%	54	59.02%	121	14.63%	30	205
	Are there any other issues you would like to add?							11

Answered 209
Skipped 38

Question 4 - Graph



Additional comments received:

- Time at work given each week for a keep fit session
- Deaf access to services due to communication difficulties.
- Obesity and inactivity rates are high. People should be encouraged to be active at every opportunity. Car parking costs are a real issue. I don't swim now as paying to park pushes the cost up. I don't walk at Seaton now as it costs to do this. It's counterproductive
- better education to eat well for less., teaching children to cook with fresh ingredients and freeze extra portions. I don't think there is an issue around accessing healthy food at affordable price it's the education
- access to affordable physical activity opportunities.... walking is free!!
- keyword is affordable
- Primary universal health services are an absolute disgrace. Children and young people with additional needs are being failed. Contracts are not fit for purpose to deliver Physiotherapy, OT, mental health services and other therapies in a person centred way. Contracts/processes do not fit individuals needs, our children and young people are individual and do not fit into boxes.
- We need a local hospital for all major issues located within Hartlepool
- Hartlepool Borough Council should butt out of trying here. This can be covered by the free market, including free market philanthropy like Sustrans and people bequeathing parks to the Town.

Question 5. Are you male or female?

Male	35.58%	74
Female	64.42%	134

39 People skipped this question

Question 6. What age bracket are you in?

Under 18	0.00%	0
18 - 24	1.92%	4
25 - 34	12.98%	27
35 - 44	17.31%	36
45 - 54	24.04%	50
55 - 64	26.92%	56
65+	16.83%	35

39 people skipped this question

Question 7. Do you consider yourself to have a disability?

Yes	18.93%	39
No	81.07%	167

41 people skipped this question

Question 8. What is your ethnic origin?

White	98.54%	202
Mixed / multiple ethnic groups	0.00%	0
Asian or Asian British	0.49%	1
Black, African, Caribbean or Black British	0.00%	0
Other Ethnic Group	0.98%	2

42 People skipped this question

Question 9. In what ward do you live?

Burn Valley Ward	14.78%	30
De Bruce Ward	9.85%	20
Fens and Rossmere Ward	7.39%	15
Foggy Furze Ward	3.45%	7
Hart Ward	12.32%	25
Headland and Harbour Ward	4.43%	9
Jesmond Ward	4.93%	10
Manor House Ward	2.96%	6
Rural West Ward	11.33%	23
Seaton Ward	9.85%	20
Victoria Ward	5.91%	12
I don't live in Hartlepool	12.81%	26

44 people skipped this question

Hartlepool Joint Health and Wellbeing Strategy 2018 - 2025

Our Vision and Ambition

Our vision is that Hartlepool will develop a culture and environment that promotes and supports health and wellbeing for all.

Our ambition is to improve health and wellbeing outcomes and reduce inequalities for our population.

Our Purpose

Why do we need a strategy?

The Health and Social Care Act (2012) establishes Health and Wellbeing Boards as statutory bodies responsible for encouraging integrated working and developing a Joint Strategic Needs Assessment (JSNA) and Joint Health and Wellbeing Strategy (JHWS) for their area. Hartlepool Health and Wellbeing Board (HWB) is a committee of the Council with the mandate to address the health and wellbeing needs of Hartlepool and help reduce health inequalities. The JHWS is a strategic document outlining how Hartlepool Borough Council (HBC), NHS Hartlepool and Stockton Clinical Commissioning Group (HAST CCG) and other partners, through the HWB, will fulfil this mandate. The strategy is underpinned by the JSNA and views of our communities and will provide a foundation for strategic, evidence-based, outcomes-focused commissioning and planning for Hartlepool.

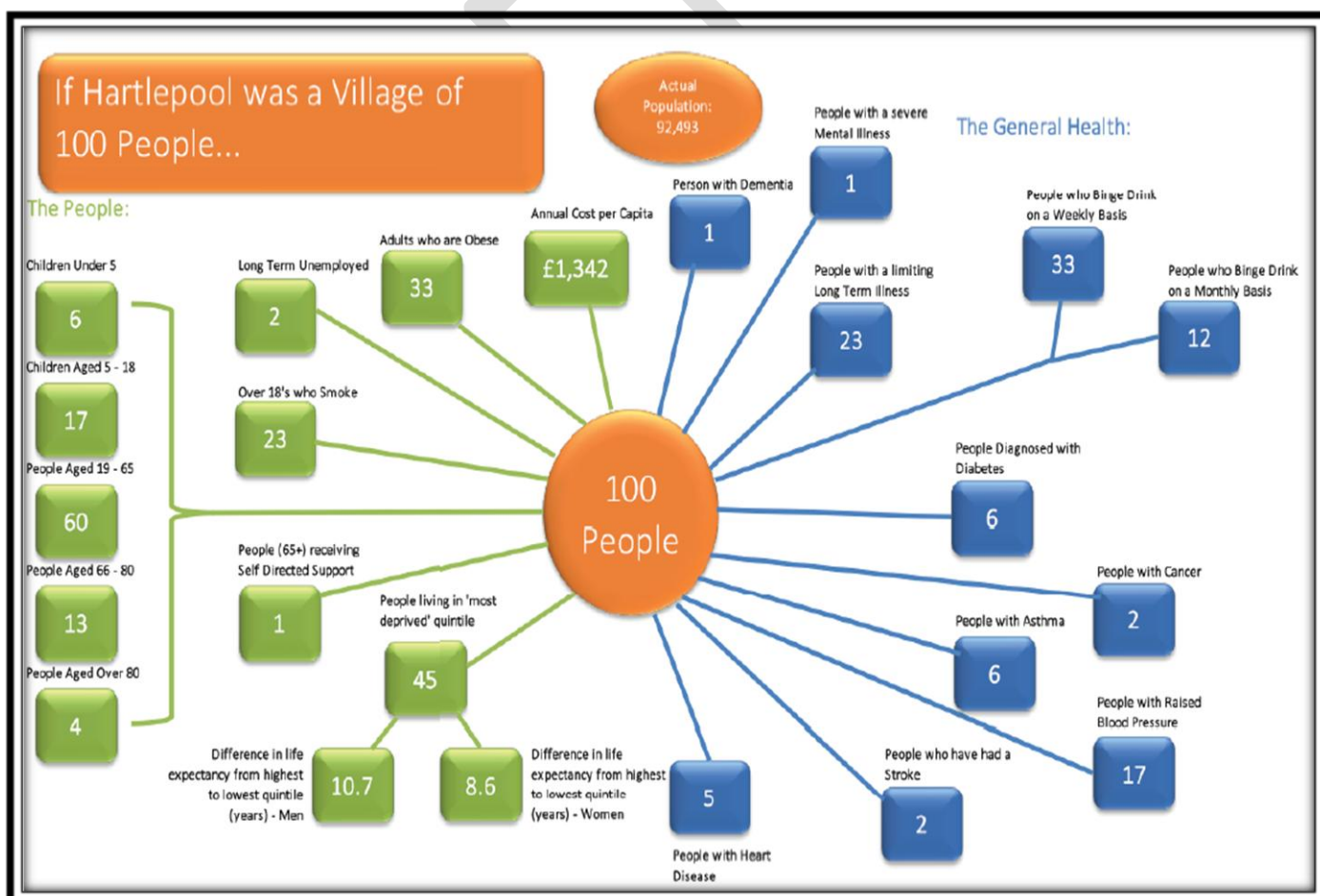
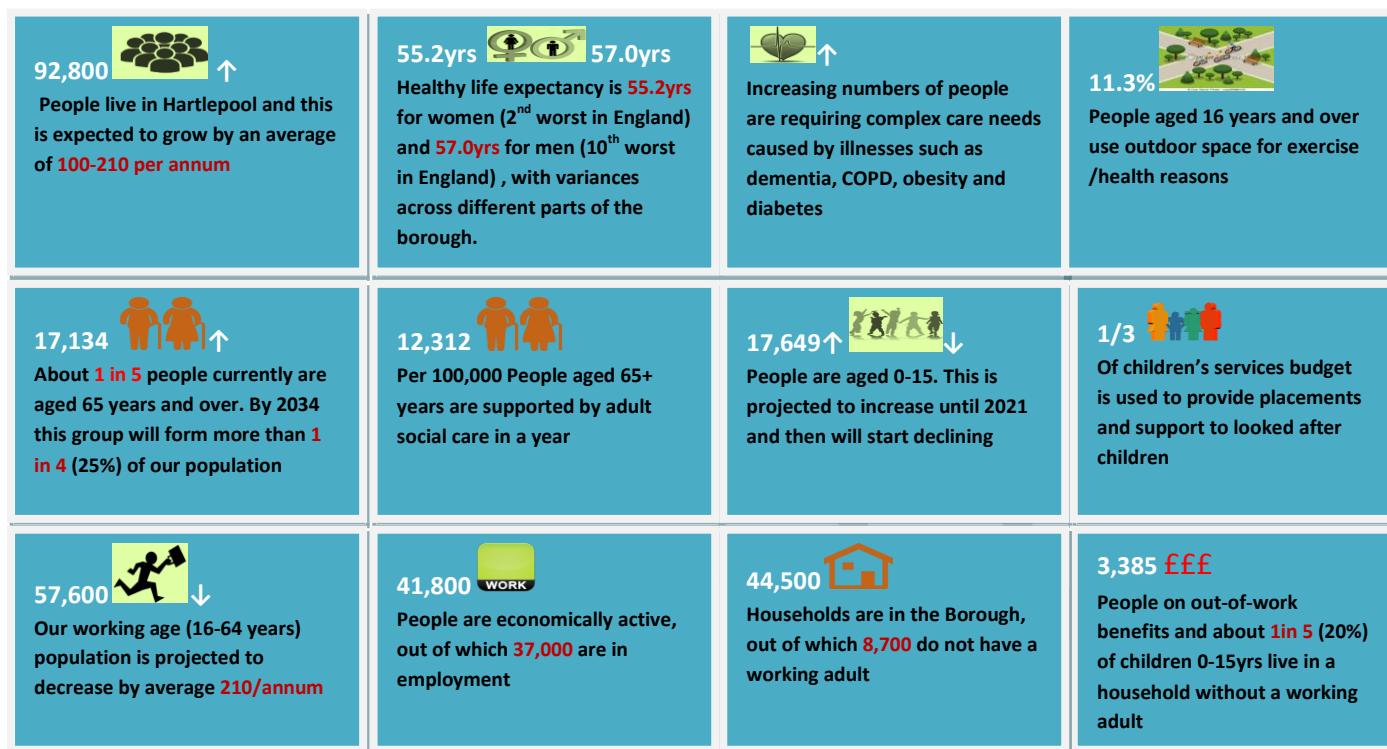
Hartlepool

Background and Context

Hartlepool HWB is committed to working together with the people of Hartlepool to improve health and wellbeing of residents. At a time of increasing demand on services and pressures on funding, it is even more important to make sure we are a healthy borough by supporting people to take responsibility for their health, and that services are delivered efficiently, targeting them towards those who need the most help. The HWB has previously had a JHWS that was jointly implemented by the partners and runs to an end in March 2018. The previous strategy was based upon the principles of the Marmot Review? (2010) and focused on protecting and improving the health of the population through a range of evidence based interventions. In order to ensure that the strategy is fit for purpose and effectively reflects local priorities, the board took the decision to revise the strategy. The Board intends to focus on a few key priorities that will make a difference to the lives of the people who live and work in the borough, over the next seven years, in order to get it right for our population.

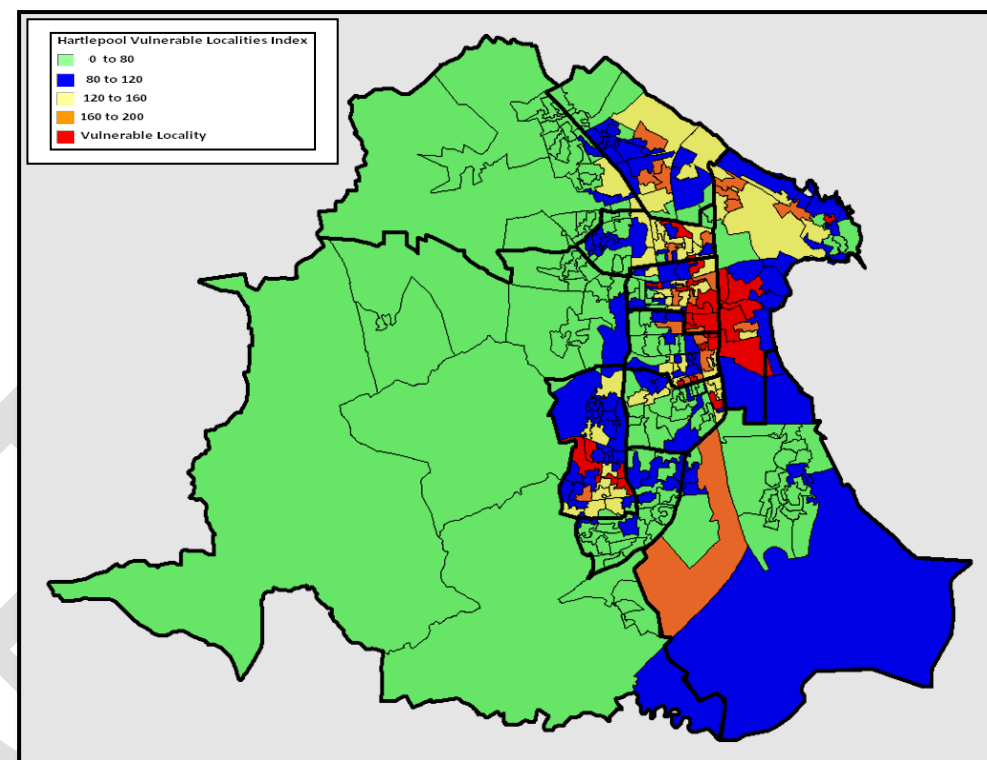
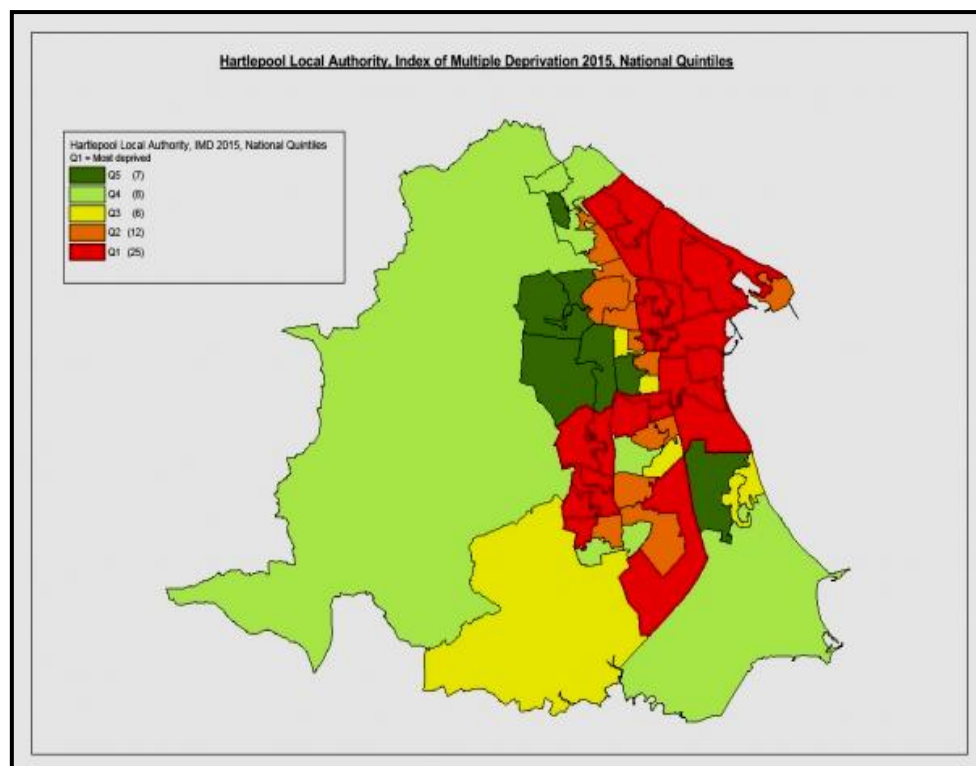
Hartlepool also has other key ongoing programmes such as 'Hartlepool Matters' and the 'Sustainability and Transformation Partnership (STP)' that are concurrently shaping the future of health and wellbeing in our population. The implementation of this revised strategy, together with these ongoing programmes and other projects that are led by the Voluntary and Community Sector (VCS) will together contribute to achieve the priorities outlined in this strategy. However, we are mindful that our residents are our greatest assets and we will work in collaboration with our communities to help shape our local policies and planning levers to achieve improved health outcomes in the Borough.

Key Facts



4.3

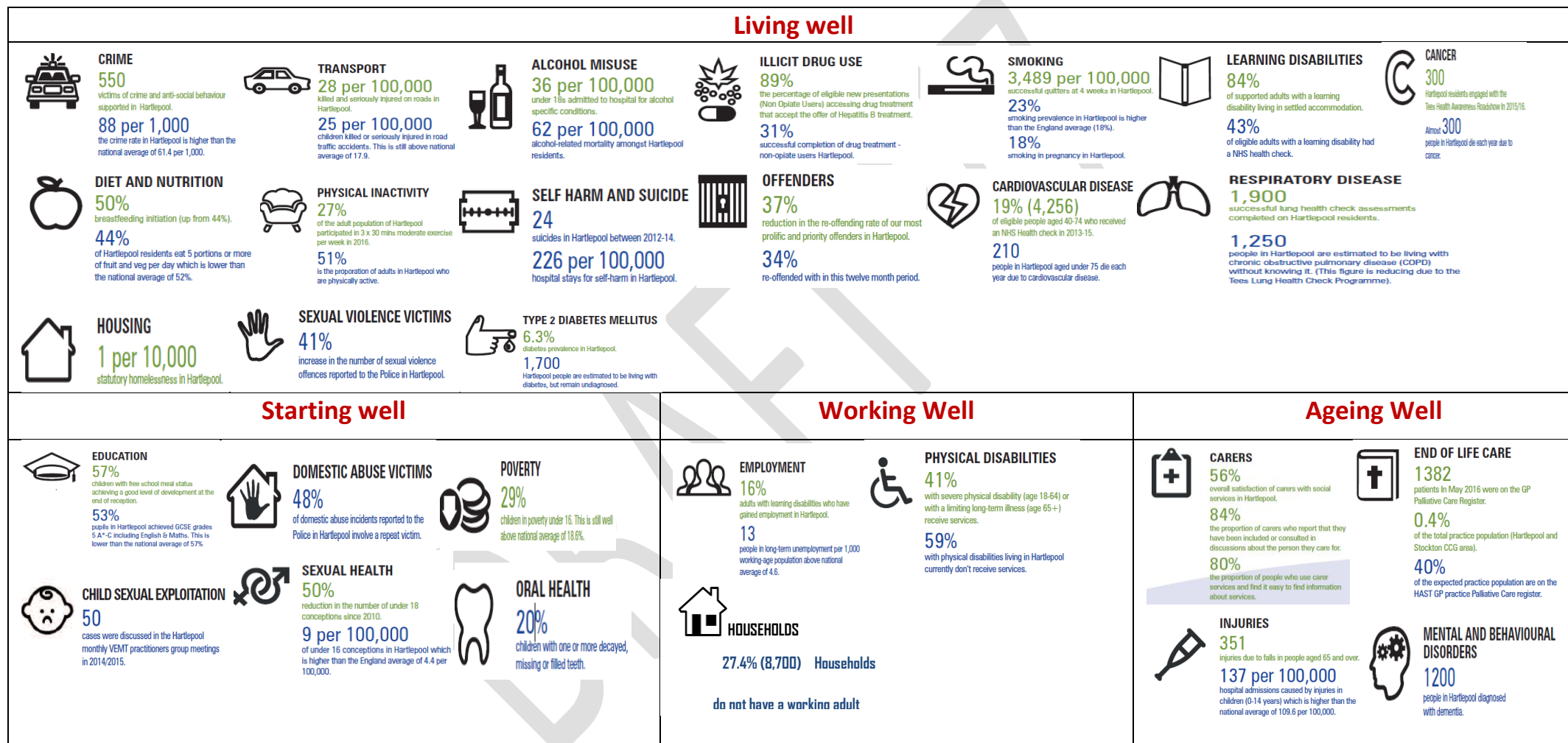
Appendix C



In Hartlepool, the areas where the most vulnerable members of our population live reflect the areas with the highest indices of multiple deprivation. A similar picture is also reflected for the areas with the highest levels of income deprivation affecting children and older people and those with a long-term illness/disability ([Hartlepool Neighbourhood Information.pptx](#)). Our facilities that could be used to promote health and wellbeing are strategically located in the areas of greatest need for easy access ([PH Asset points map a.pdf](#)). The Borough also boasts of a beautiful coastline, parks, tourist attraction sites, and local schemes implemented by voluntary and community sector (VCS) organisations etc, which would be explored for health and wellbeing benefits.

Our Story

What do we need to be mindful of?



Key: Green text = Success | Blue text = Requires Improvement

Our Priorities

What we want to achieve and why?

The HWB considered our achievements from the previous strategy, findings from the JSNA and available intelligence from partner organisations and agreed four main priority areas to focus on during the lifetime of this strategy – **Starting, Working, Ageing and Living Well**. After our consultation with the general public it was suggested to include an additional priority theme – **Dying Well**.

Starting Well – All Children and young people living in Hartlepool have the best start in life.

Children who grow up in loving and supportive families are most likely to be happy, healthy and safe. Life experiences involve critical transitions - emotional and physical changes in early childhood; moving from primary to secondary and tertiary education; starting work; leaving home and starting a family; and retirement. Each transition stage can affect health and wellbeing by pushing people into more or less disadvantaged paths. Children and young people who have been disadvantaged in the past are at the greatest risk and their children are more likely to be also disadvantaged. We want to ensure access to high quality universal services such as health care and education; early intervention when needed, and targeted support for children, young people and families who are in difficulties. We want to prevent children and young people from developing emotional problems; having to live in poverty, or where they or their families are affected by abuse, violence or misuse of substances, so that we prevent problems being passed from generation to generation.

Working Well - Workplaces in Hartlepool Borough promote and support healthy living.

Access to fulfilling, paid work has long been a significant determinant of people's wellbeing. Economically, fulfilling work provides a secure income, while in social terms; such work can offer a sense of purpose and social connection. People who are economically less well-off have substantially shorter life expectancy and more illnesses than those in meaningful employment. In addition, supporting those who work to be healthy and well means they are able to better support and care for their dependents (children and/or the elderly). We want workplaces in Hartlepool to be healthy places with supportive practices and environments that enable

employees to sustain healthy lifestyle choices. Hartlepool has a higher than average number of people with learning disabilities in employment. We want to sustain this achievement and we also want to work with our communities to support young people and people with limiting ill-health into fulfilling employment for positive health and wellbeing gains.

Ageing Well – Older People in Hartlepool live active and independent lives and are supported to manage their own health and wellbeing.

Similar to most areas in England, the proportion of older people in Hartlepool is increasing. For instance, the number of people who were aged 85 years or more in 2005 was 1,400; this increased to 2,100 by 2015 and will continue to increase to 3,330 by 2025 and to 4,700 by 2035. Although most people are living longer, the majority of their latter years (approximately 20 years for males; and 26 years for females) are lived with poor health and wellbeing. We want to support people to develop and maintain health and independence as long as possible so that they can live life to the full. When people start to develop a long-term health problem, we want to focus on preventing them from developing further health and social problems. We want to see local services focused on those who have the greatest need, to reduce health inequality and to enable a greater focus on prevention of ill health.

Living Well – Hartlepool is a safe and healthy place to live with strong communities.

Enabling those who live in Hartlepool to be healthy and well for a lifetime involves much more than good health and social care services. Many different things impact on health and wellbeing – housing, jobs, leisure, sport & access to open spaces, education, health services and transport. We want Hartlepool to be a healthy place with supportive neighbourhoods and communities which are strong and resourceful, making best use of their community assets.

Dying Well – People in Hartlepool take steps to avoid premature deaths and are also supported for a good death.

Despite the fact that all of us will die one day, some of us will experience death suddenly or prematurely; others will die after a period of illness or frailty, which can sometimes be protracted over time. We want to engage our communities so that people from Hartlepool are supported to die with dignity, compassion and that relevant support is available to carers to deal with dying and death.

Our residents

What do they say?

To ensure that the strategy is focusing on the issues that residents consider to be of importance, findings from community face to face consultations and online survey have been used to set actions for the priority areas. There was an acknowledgement by residents of the need to ensure longer term and sustained prevention programmes are put in place and that collective action by residents, voluntary and community, private and public sector organisations should be promoted to implement the strategy. It was also highlighted to identify and target vulnerable and at risk groups in order to reduce inequalities and to use our current community assets for health, care and wellbeing to facilitate implementation.

247 Responses to the online survey were received from across all age groups and evenly spread across all wards. 30 additional people also participated in three face-to-face community workshops. Further discussions were also held with bespoke groups including Healthwatch, BME and children and young people's groups that provided further input to help shape the actions (appendix 1). The priority actions decided by our residents are themed below:

Starting Well

- Harm from alcohol and substance misuse
- Emotional wellbeing, resilience and mental health
- Educational attainment and aspirations for children and young people
- Parenting skills
- Excess weight in children and young people
- Domestic Abuse

Working Well

- Training and employment for people with disability/mental health/long-term conditions
- Training and employment for young people
- Workplace-based programmes to improve health and wellbeing and access to health services
- Access to good jobs, volunteering and apprenticeships
- Poverty

Ageing Well

- Social isolation
- Support for carers
- Safety, crime and anti-social behaviour
- Mental health
- Integrated health, care and wellbeing packages
- Access to health, care and wellbeing services

Living Well

- Tobacco harm/smoking
- Excess weight
- Emotional wellbeing and mental health
- Physical activity
- Screening and early identification for preventable ill-health
- Immunisations

There was a further suggestion to include 'Dying Well' as another priority area.

These priority actions are expanded further into our plan for delivery.

Our plan for delivery – Current and ongoing

Majority of the priority actions identified by our residents are already being worked on by partners and is inter-dependent on the delivery of a number of town wide/Tees/regional strategies, policies and action plans. We will continue to align our business with implementation of these strategies, policies and action plans.

Priority Outcomes	Actions already in Progress		
	Improving Health and Care Services	Improving Health & Wellbeing	Protecting Health
Starting Well	*Improve access for emotional wellbeing and Child and Adolescent Mental Health Services (CAHMS)	*Implement programmes that promote emotional wellbeing and resilience *Improve school readiness, educational attainment and aspirations for children and young people *Implement parenting programmes	*Promote healthy relationships through education, early help and support *Promote uptake of childhood immunisations in deprived wards
Working Well	*Implement workplace based screening programmes to improve health and wellbeing and improve access to health services *Implement workplace wellbeing accreditation and charter schemes for businesses and organisations	*Improve training and employment for people with disability/mental health/long-term conditions *Provide training and employment for young people *Implement programmes to reduce poverty	*Promote uptake of vaccinations for at risk professional groups e.g. health and social care *Promote uptake of vaccinations for people with long-term conditions
Ageing Well	*Provide integrated health, care and wellbeing packages *Improve access to health, care, mental health and wellbeing services	*Implement networking initiatives to reduce social isolation and loneliness *Implement and strengthen programmes that provide support for carers	*Promote safer neighbourhoods and reduce crime and anti-social behaviour
Living Well	*Provide integrated care packages and to include prevention *Deliver the right care, at the right time, in the right place by working as locally as possible and shifting the balance of care out of hospital to community providers including Housing and VCS organisations	*Implement programmes to reduce drugs and alcohol harm *Implement programmes to reduce tobacco harm *Implement programmes to promote physical activity, improve diets and reduce excess weight *Implement programmes to improve emotional wellbeing and mental health	*Implement programmes to reduce impact of drugs and alcohol misuse on children and young people *Implement programmes to reduce tobacco harm in children and young people
Dying Well	*Implement evidence based end of life care packages in appropriate settings	*Implement bereavement and counselling services	*Promote uptake of 65+ flu vaccinations *Promote screening and early identification for preventable ill-health



Our plan for delivery – Looking ahead

In addition, we want to do some things very differently from the way we have previously operated. This means that we will invest in the health and wellbeing assets in our communities to enable our residents facilitate the desired cultural changes that will improve the health and wellbeing of our local area. The Board will also focus on a few targeted projects across the life course and ensure that together with our wider community partners, we collectively deliver over the lifespan of this strategy to get it right for our population.



What we will do.				
Targeted Project	Ways of working			
	MECC	Targeting groups	Working with VCS	Media campaigns
Overarching	*Provide generic brief intervention training to enable all agencies to identify the needs of their clients and respond/refer to services as appropriate *Support development of community networks, making best use of digital technology and community assets. *Develop a local directory of Health, Care and Wellbeing services to help signpost potential service users and facilitate social prescribing *Develop and agree a local prevention model that aligns VCS and public sector service delivery for health, care and wellbeing.			
Mental health & emotional wellbeing	*Use the WHO public mental health framework to strengthen the local approach to improving public mental health	*Building on the community hubs model, implement the 'Five Ways to Wellbeing' programme in settings *Building resilience for adults, older people and communities should be coordinated by developing a programme that embeds asset based approaches together with the Five Ways to Wellbeing.	*Develop and implement a Borough-wide programme to promote the Five Ways to Wellbeing	*Use the Five Ways to Wellbeing approach to develop local resources for social marketing to improve population mental health
Drugs and alcohol harm	*Implement opportunistic health promotion through health care settings and crime institutions	*Revise and implement the multi-agency drugs and alcohol harm reduction strategy for the Borough	*Utilise a link worker model through the VCS for social prescribing and accessing services	*Work with Balance North East to implement targeted campaigns
Health inequalities incl domestic abuse and poverty	*Implement opportunistic economic assessment models e.g. maternity/primary care/ mental health settings/housing providers etc *Develop and implement a HBC model for 'pathways to a successful career' for 11-16 year olds *Adapt local policies to help achieve a 'Healthy Borough' status	*Pilot a Health-led employment initiative for people with LTCs/disability. *Utilise local intelligence from social services and police to identify at risk groups for domestic abuse *Conduct case study reviews of a sample of DV victims to provide insight for planning prevention programmes	*Implement a community peer development model by building on the work of the 'Hartlepool Action Lab' delivered by Joseph Rowntree Foundation	*Develop and adopt a social value charter for the borough *Work with PCC's office to establish a social marketing approach across Tees for domestic abuse
Dying Well	*Adapt local policies to help achieve a 'Compassionate Borough' status	*Develop a gap analysis against the 'Public Health approaches to end-of-life care' toolkit	*Develop and Implement a local Dying Well community charter *Develop and implement a multi-agency support pathway for Dying Well	*Use local media to raise awareness of cases and prevention from premature mortality

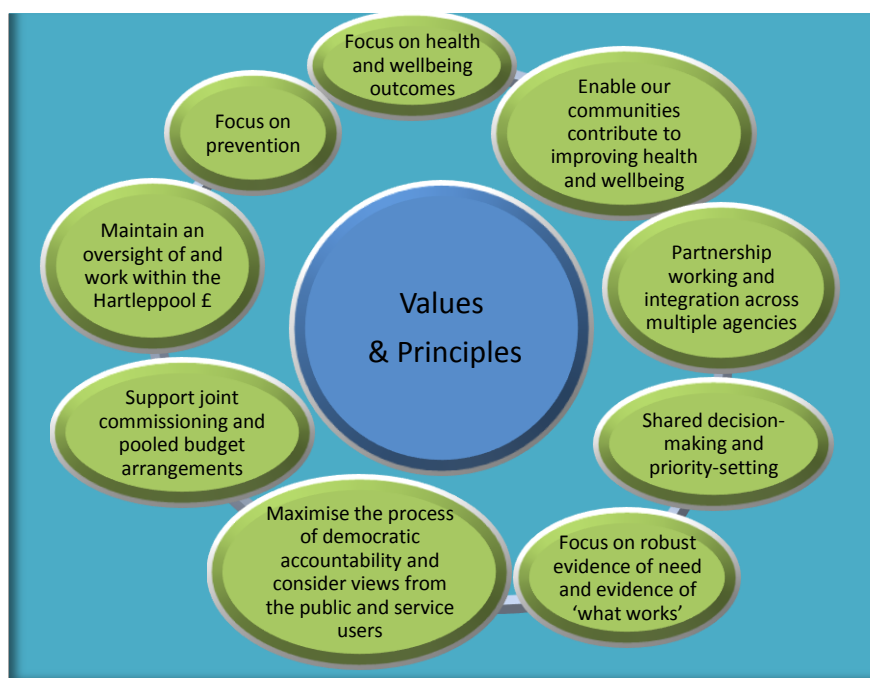
Monitoring and evaluation

How will we know we have been successful?

In order to measure success, the Board will monitor progress through quarterly performance reports and seek to maximise resources and secure external resources into the Borough. We will embed a culture of evaluation by working better with the academic institutions to utilise an action research approach that will help test new models of delivery and embed a continuous improvement ethos. Below are the outline indicators that will be monitored for each priority theme.

Priority	Measures	
	What we hope to achieve (outcome of interest)	How we will know we are on the right path (process/output indicators)
Overarching	VCS is driving prevention programmes in communities.	<ul style="list-style-type: none"> ✓ MECC training offer that includes brief intervention skills is produced with library service and delivered to staff of local agencies ✓ Comprehensive local directory of community assets and services is produced ✓ Hartlepool multi-agency health, care and wellbeing prevention model is developed and implemented
Starting Well	Number of children affected by inter-generational cycle of vulnerability e.g poverty, domestic abuse, drugs and alcohol is decreasing.	<ul style="list-style-type: none"> ✓ Reducing trend in LAC/child protection cases that result from domestic abuse/substance misuse is observed ✓ Increasing proportion of children on FSM achieving 5+ GCSEs (including Maths and English) is observed ✓ Increasing proportion of 11-16year olds are offered opportunities for work experience or apprenticeship
Working Well	Number of people from Hartlepool with a disability/long-term illness in employment is increasing. Number of young people from Hartlepool in employment is increasing.	<ul style="list-style-type: none"> ✓ Increasing trend in % of people aged 16-64 in employment is observed ✓ Health-led employment initiative is piloted, evaluated and fully implemented ✓ Reducing trend in gap in employment rate between those with a long-term health condition/learning disability/mental health and the overall employment rate is observed
Ageing Well	Majority of older people in Hartlepool are independent and not socially isolated.	<ul style="list-style-type: none"> ✓ Community peer support and networking model is developed and implemented ✓ Increasing trend in the % of adult carers who have as much social contact as they would like is observed ✓ Increasing trend in the % of adult social care users who have as much social contact as they would like is observed
Living Well	Hartlepool Borough provides an enabling environment that supports residents to take up and sustain a healthy lifestyle.	<ul style="list-style-type: none"> ✓ Healthy Borough status is achieved ✓ Social value charter is developed and adopted for the borough ✓ Increasing trend in % of people utilising outdoor space for exercise/health reasons is observed
Dying Well	Residents of Hartlepool and their carers/families are provided with appropriate support to deal with dying and death.	<ul style="list-style-type: none"> ✓ Compassionate Borough status is achieved ✓ Dying Well community charter is developed and adopted by the Borough ✓ Integrated multi-agency support pathway for dying well is developed and implemented

Our principles and values

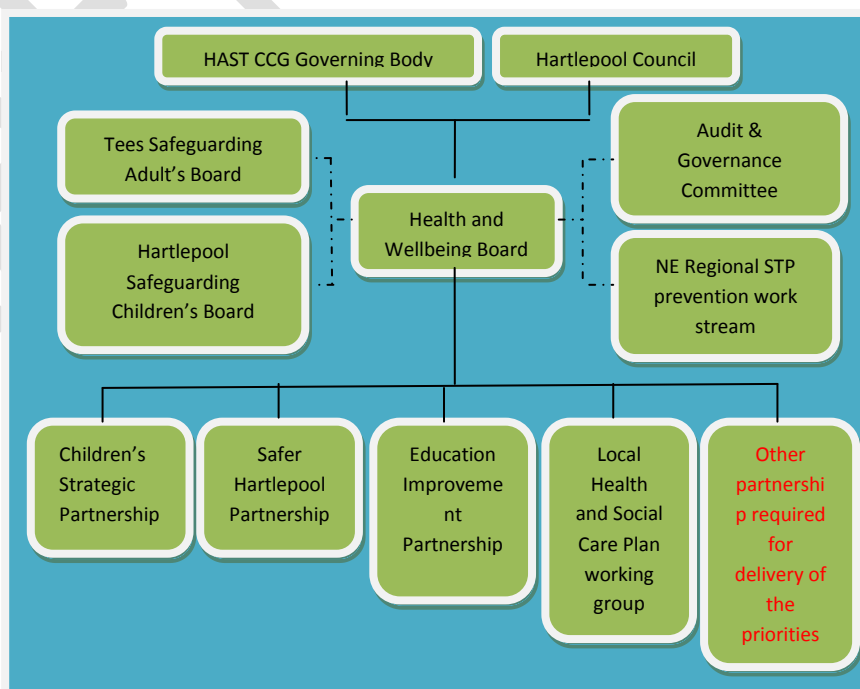


The Health and Wellbeing Board operates within a set of principles and values. The Joint Health and Wellbeing Strategy implementation provides the opportunity to maximise partnerships and evidence base, generating new ways of tackling health and wellbeing challenges. This includes recognising and mobilising the talents, skills and assets of local communities to maximise health and wellbeing outcomes.

Our governance arrangements

Who will hold us accountable?

This Strategy is owned by the Health and Wellbeing Board, reviewed by the Board every 3 years to ensure that it remains relevant and continues to reflect local priorities. Each year the Board will agree an action plan setting out how the Strategy will be delivered. The action plan will set out agreed timescales for delivery and clear ownership for the actions. The action plan will also include a number of performance indicators which will be used to assess the progress being made. The key risks for implementing the Strategy will also be identified.



The Audit and Governance Committee of the Council will hold the Board accountable for implementing the Strategy. In addition there will be other Council/Borough-wide/regional partnerships whose work will help to deliver the Strategy.

Appendix 1: Links to reports from community consultation

1. Online survey report ([Online Survey results summary.docx](#))
2. Summary report from community workshops ([Summary of comments from Community Consultation Workshops.docx](#))

DRAFT



NHS
Hartlepool and Stockton-on-Tees
Clinical Commissioning Group



NHS
North Tees and Hartlepool
NHS Foundation Trust

Tees, Esk and Wear Valleys **NHS**
NHS Foundation Trust

NHS
England

H&SH **healthwatch**
Hartlepool & Stockton Health Hartlepool

Document version control

Version	Date	Comments	Owner
1.0	23/5/17	Developed initial framework for the strategy document	EM
	25/5/17	Included narrative on the rationale for the agreed priorities	EM
	31/5/17	Amended section on priorities to reflect comments from PEJ. Included model on 'values & principles'	EM
	8/6/17	Completed sections on 'principles and values' and 'interdependencies'	EM
	21/6/17	Inserted info graphics on 'our story' section	EM
	29/6/17	Completed 'monitoring and evaluation' section and started developing the key facts	EM
	13/7/17	Completed the 'our residents' and 'our actions' sections with initial findings from community surveys and workshops.	EM
	17/7/17	Completed the 'our residents' section with rest of comments for other workshops; Inserted the GIS map of health and wellbeing assets; updated the 'our actions' section.	EM
2.0	21/7/18	Updated the whole report based on comments from HWB partner round table workshop. Embedded hyperlinks to consultation reports as appendix 1.	EM
	15/8/17	Replaced info graphic on page 5 with updated version following comments from HWB workshop	EM
3.0	18/8/17	Updated the 'looking ahead' and 'monitoring and evaluation' sections	EM
	21/8/17	Updated whole report based on comments from HWB pre-agenda meeting	EM
4.0	25/8/17	Started updating whole report based on comments by CMT	EM
5.0	29/8/17	Completed update to the whole report based on comments by CMT	EM
6.0	5/9/17	Started updating whole report based on comments from HWB workshop	EM
7.0	8/9/17		EM

POVERTY IMPACT ASSESSMENT FORM**1. Is this decision a Budget & Policy Framework or Key Decision? YES****If YES please answer question 2 below****2. Will there be an impact of the decision requested in respect of Child and Family Poverty?****YES****If YES please complete the matrix below**

GROUP	POSITIVE IMPACT	NEGATIVE IMPACT	NO IMPACT	REASON & EVIDENCE
Young working people aged 18 - 21	✓			<p>Targeted projects contained within the strategy focus on mental health / emotional wellbeing, drugs and alcohol harm, health inequalities (inc. domestic abuse and poverty) and dying well.</p> <p>The Strategy aims to:</p> <ul style="list-style-type: none"> - Implement opportunistic economic assessment models e.g. maternity/primary care/ mental health settings/housing providers, etc; - Develop and implement a HBC model for 'pathways to a successful career' for 11-16 year olds; - Adapt local policies to help achieve a 'Healthy Borough' status; - Build on the community hubs model, implementing the 'Five Ways to Wellbeing' programme in settings; - Build resilience for adults, older people and communities by developing programme that embeds asset based approaches together with the Five Ways to Wellbeing; and - Implement a community peer development model, building on the work of the 'Hartlepool Action Lab' delivered by Joseph Rowntree Foundation. - There is a focus on a pilot of the Health-led employment initiative for people with LTCs/disability. <p>Please also apply this text to the sections below**</p>
Those who are disabled or suffer from illness / mental illness	✓			<p>Targeted projects contained within the strategy focus on mental health / emotional wellbeing, drugs and alcohol harm, health inequalities (inc. domestic abuse and poverty) and dying well.</p> <p>**</p>
Those with low educational attainment			✓	<p><i>Whilst not specifically targeted, there will be an impact across all strands of the community in helping deliver improved health and wellbeing outcomes.**</i></p>

Those who are unemployed	✓			<p><i>There will be an impact across all strands of the community in helping deliver improved health and wellbeing outcomes. There is a specific focus on:</i></p> <ul style="list-style-type: none"> - A pilot of the Health-led employment initiative for people with LTCs/disability. - Develop and implement a HBC model for 'pathways to a successful career' for 11-16 year olds **
Those who are underemployed	✓			<p><i>Whilst not specifically targeted, there will be an impact across all strands of the community in helping deliver improved health and wellbeing outcomes. There is a specific focus on a pilot of the Health-led employment initiative for people with LTCs/disability. **</i></p>
Children born into families in poverty	✓			<p><i>Whilst not specifically targeted, there will be an impact across all strands of the community in helping deliver improved health and wellbeing outcomes. **</i></p>
Those who find difficulty in managing their finances			✓	<p><i>Whilst not specifically targeted, there will be an impact across all strands of the community in helping deliver improved health and wellbeing outcomes. **</i></p>
Lone parents			✓	<p><i>Whilst not specifically targeted, there will be an impact across all strands of the community in helping deliver improved health and wellbeing outcomes. **</i></p>
Those from minority ethnic backgrounds	✓			<p><i>Whilst not specifically targeted, there will be an impact across all strands of the community in helping deliver improved health and wellbeing outcomes. **</i></p>

Poverty is measured in different ways. Will the policy / decision have an impact on child and family poverty and in what way?				
Poverty Measure (examples of poverty measures appended overleaf)	POSITIVE IMPACT	NEGATIVE IMPACT	NO IMPACT	REASON & EVIDENCE
Children in Low Income Families (%)			✓	There is focus on improving health and wellbeing outcomes across the whole population of Hartlepool. In relation to the protected groups identified in the Equality Act, there are key deliverables focusing on improving outcomes for young people, older people and those with disabilities.
Children in Working Households (%)			✓	There is focus on improving health and wellbeing outcomes across the whole population of Hartlepool. In relation to the protected groups identified in the Equality Act, there are key deliverables focusing on improving outcomes for young people, older people and those with disabilities.
Overall employment rate (%)			✓	There is focus on improving health and wellbeing outcomes across the whole population of Hartlepool. In relation to the protected groups identified in the Equality Act, there are key deliverables focusing on improving outcomes for young people, older people and those with disabilities.
Proportion of young people who are NEET			✓	There is focus on improving health and wellbeing outcomes across the whole population of Hartlepool. In relation to the protected groups identified in the Equality Act, there are key deliverables focusing on improving outcomes for young people, older people and those with disabilities.
Adults with Learning difficulties in employment	✓			There is focus on improving health and wellbeing outcomes across the whole population of Hartlepool. In relation to the protected groups identified in the Equality Act, there are key deliverables focusing on improving outcomes for young people, older people and those with disabilities.
Free School meals attainment gap (key stage 2 and key stage 4)			✓	There is focus on improving health and wellbeing outcomes across the whole population of Hartlepool. In relation to the protected groups

				identified in the Equality Act, there are key deliverables focusing on improving outcomes for young people, older people and those with disabilities.
Gap in progression to higher education FSM / Non FSM			✓	There is focus on improving health and wellbeing outcomes across the whole population of Hartlepool. In relation to the protected groups identified in the Equality Act, there are key deliverables focusing on improving outcomes for young people, older people and those with disabilities.
Achievement gap between disadvantaged pupils and all pupils (key stage 2 and key stage 4)			✓	There is focus on improving health and wellbeing outcomes across the whole population of Hartlepool. In relation to the protected groups identified in the Equality Act, there are key deliverables focusing on improving outcomes for young people, older people and those with disabilities.
Number of affordable homes built			✓	There is focus on improving health and wellbeing outcomes across the whole population of Hartlepool. In relation to the protected groups identified in the Equality Act, there are key deliverables focusing on improving outcomes for young people, older people and those with disabilities.
Prevalence of obese children in reception year	✓			There is focus on improving health and wellbeing outcomes across the whole population of Hartlepool. In relation to the protected groups identified in the Equality Act, there are key deliverables focusing on improving outcomes for young people, older people and those with disabilities.
Prevalence of obese children in reception year 6	✓			There is focus on improving health and wellbeing outcomes across the whole population of Hartlepool. In relation to the protected groups identified in the Equality Act, there are key deliverables focusing on improving outcomes for young people, older people and those with disabilities.
Life expectancy	✓			There is focus on improving health and wellbeing outcomes across the whole population of Hartlepool. In relation to the protected groups identified in the Equality Act, there are key deliverables focusing on

				improving outcomes for young people, older people and those with disabilities.
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Overall impact of Policy / Decision			
NO IMPACT / NO CHANGE – the impact will be positive.	✓	ADJUST / CHANGE POLICY / SERVICE	
ADVERSE IMPACT BUT CONTINUE		STOP / REMOVE POLICY / SERVICE	

Impact Assessment Form

Department	Division	Section	Owner/Officer
Child and Adult Services	Public Health	Public Health	Paul Edmondson-Jones
Service, policy, practice being reviewed/changed or planned	Hartlepool Joint Health and Wellbeing Strategy 2018-25		
Why are you making the change?	The NHS reform requires the Local Authority with partner agencies to develop a joint Health and Wellbeing Strategy based on the Joint Strategic Needs Assessment (JSNA). The final draft of the strategy must be completed by April 2018. The strategy should focus on not only protecting the health of the population but improving it through a range of evidence based interventions.		
How might this impact (positively/negatively) on people who share protected characteristics?			
		<i>Please tick</i>	POSITIVELY
			NEGATIVELY
Age			✓
<p>There is focus in the Health and Wellbeing Strategy on improving health and wellbeing outcomes across the whole population of Hartlepool. In relation to the protected groups identified in the Equality Act, as detailed below, there are key deliverables focusing on improving outcomes for young people, older people and those with disabilities.</p> <p>Targeted projects contained within the strategy focus on mental health / emotional wellbeing, drugs and alcohol harm, health inequalities (inc. domestic abuse and poverty) and dying well, delivering ways of working that:</p> <ul style="list-style-type: none"> - Make every contact count; - Use local intelligence to effectively target groups and places where there is the greatest need; - Work better with, and build, the voluntary and community sector (VCS) offer as an asset; and - Target our media campaigns so that the right messages reach the right people. <p>The Strategy aims to:</p> <ul style="list-style-type: none"> - Implement opportunistic economic assessment models e.g. maternity/primary care/ mental health settings/housing providers, etc; - Develop and implement a HBC model for 'pathways to a successful career' for 11-16 year olds; - Adapt local policies to help achieve a 'Healthy Borough' status; - Build on the community hubs model, implementing the 'Five Ways to Wellbeing' programme in settings; - Build resilience for adults, older people and communities by developing programme that embeds asset based approaches together with the Five Ways to Wellbeing; and - Implement a community peer development model, building on the work of the 'Hartlepool Action Lab' delivered by Joseph Rowntree Foundation. <p>Please also apply this text to the sections below**</p>			
Disability			✓
<i>Improved health and wellbeing outcomes as an integral part of the community across Hartlepool, with specific involvement in the consultation process for the development of the Strategy. **</i>			
Gender Re-assignment			
Not directly			
Race			✓
<i>Improved health and wellbeing outcomes as an integral part of the community across</i>			

*Hartlepool, with specific involvement in the consultation process for the development of the Strategy. ***

Religion	✓	
Not directly		
Gender	✓	
Not directly		
Sexual Orientation		
Not directly		
Marriage & Civil Partnership		
Not directly		
Pregnancy & Maternity	✓	
**		
Has there been consultation /is consultation planned with people who will be affected by this policy? How has this affected your decision making?	As demonstrated, we have undertaken a considerable consultation exercise and we are able to analyse the data collected from the different locations where the consultation took place. The strategy is underpinned by the JSNA and as part of this consultations have been / are being undertaken with specific user groups. In addition to this, HWS consultations have encouraged involvement through the Youth Council, schools, existing adult forums (e.g. the Learning Disability partnership Board and the Mental Health Forum) and community groups (inc. minority groups). The priorities identified in the proposed Council Plan have been informed by the Council's Your Say, Our Future exercise that took place over summer 2016.	
As a result of your decision how can you mitigate negative/maximise positive outcomes and foster good relationships?	<p>Maximising positive outcomes / fostering good relationships - The Health and Wellbeing Board is a partnership body responsible for 'ensuring consistency between the commissioning priorities of partners and the Health and Wellbeing Strategy and JSNA. Having strategic influence over commissioning and investment decisions across health, public health and social care services to ensure integration and joint commissioning particularly for those services being commissioned and provided to the most vulnerable people'.</p> <p>The involvement of all partners on the Board in the development, and approval, of the strategy ensures 'buy in' to the actions necessary for its implementation - maximising the potential for positive outcomes / improvements.</p> <p>Should any changes be required to individual services, in order to implement the Strategy individual Equality Impact Assessments will be carried out (as and if required).</p>	
Describe how you will address and monitor the impact	<p>1. No Impact- No Major Change</p> <p>Addressing Impact - There is no potential for discrimination or adverse impact on the above Protected Characteristics as part of the implementation of the strategy. The aims / activities of the health and Wellbeing Board in implementing the strategy will ensure integration and joint commissioning, particularly for those services being</p>	

		commissioned and provided to the most vulnerable people.	
		All opportunities to promote equality have been taken and no further analysis or action is required.	
		Monitoring Impact - Implementation of the strategy is to be undertaken through the Health and Wellbeing Board biannually, commencing in June 2018.	
		2. Adjust/Change Policy	
		3. Adverse Impact but Continue	
		4. Stop/Remove Policy/Proposal	
Initial Assessment	18/09/2017	Reviewed	00/00/00
Completed	18/09/2017	Published	00/00/00

FINANCE AND POLICY COMMITTEE

18th September 2017



Report of: Director of Regeneration and Neighbourhoods

Subject: SALE OF LAND AT HART

1. TYPE OF DECISION/APPLICABLE CATEGORY

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

2. PURPOSE OF REPORT

2.1 To seek approval for the sale of land at Hart Village.

3. BACKGROUND

3.1 The Council currently owns a total of approximately 218 acres of agricultural land situated to both the east and west of Hart village. Part of this land has been identified in the Draft Local Plan for low density residential development. The land, which extends to approximately 7.8 acres (3.16ha) is shown hatched on the plan at **APPENDIX 1**. In order to realise the value of this land and to generate a significant capital receipt, it has recently been marketed for sale by way of informal tender based on a development brief prepared by the planning department.

3.2 The brief initially identified the density of the development to be 30 units and tenders were sought on this basis. Subsequently it has been agreed that the density could be increased to circa 45 and as such further tenders have been submitted on this basis from interested developers.

3.3 The tenders received, an assessment of these proposals and a recommendation to accept tender number 6 are detailed 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. PROPOSALS

- 4.1 It is proposed to accept tender no. 6 and to proceed with a joint venture arrangement.
- 4.2 Joint Ventures (JV's) can take a number of forms depending on the purpose of the JV, the circumstances of the parties and what they are seeking to achieve from it. In some instances a special purpose vehicle company may be formed which is jointly controlled by the parties and which is the legal entity in which investment is made and which distributes the profits. Alternatively the JV may simply be delivered through a contract which sets out the rights and responsibilities of the parties, and the terms will determine how the profit (or loss) is shared. In this instance a relatively straightforward arrangement is proposed; the main terms are set out 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.**
- 4.3 The main risks of entering into a JV are set out below. The benefit to the Council is the potential to increase the level of capital receipt to be achieved by sharing in the developer's profit in addition to the value of the land. The financial value to the Council of the JV (net of marginal interest costs) will be significantly higher than a traditional land sale. Further details are set out 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.** This includes a sensitivity analysis of the main financial risks potentially impacting on the income achieved by the Council from the JV. The key risks are detailed in the following paragraphs. Based on the detailed business case these risks are considered to be low and on this basis the JV should provide significantly higher income to the Council.

5. RISK IMPLICATIONS

- 5.1 In entering into a joint venture agreement the Council will be accepting a degree of risk in relation to the land value and or profit that it will receive as the funds due will be paid as the development and sales progress. The main risk factors can be summarised as follows:
- 5.1.1 **Sales values less than those estimated:** changes in market values before or during the sales period or an over estimation of values on the development could result in lower than forecast revenue. This would be mitigated by robust valuation of the proposed house types based on sales of similar properties in the area to ensure that projected revenue is based on realistic sales values. The housing market as a whole has seen modest

growth nationally and regionally in the last year and although there may now be some cooling of the economy and uncertainty over BREXIT, the risk of falling values for good quality new build property in this location assessed as fairly low.

- 5.1.2 **Construction Costs Risk:** In any development project there is a risk that construction costs will be higher than expected but this risk would be mitigated by a review of the forecast construction costs by the Council's Quantity Surveyors to ensure that realistic prices are being used and by a suitable contingency in the project budget. Given a development period of around 18 months, there is also a risk of construction costs increasing due to general inflation in building materials prices. There has been inflation in this sector of around 2% annually recently, at this level there would only be a marginal effect on the project overall.
- 5.1.3 **Additional abnormal costs:** Most building projects of this size will have some "abnormal" costs resulting from factors such as site remediation costs, acoustic fencing to reduce noise, utility diversions or highway costs. These are usually established prior to construction commencement but can arise during the build period due to unexpected issues on the site. This risk cannot be completely eliminated but can be effectively mitigated by the commissioning of comprehensive ground investigations and other due diligence.
- 5.1.4 **Planning Risk:** The project will require planning permission and there is therefore some risk that it will be refused or granted with conditions that affect the viability of the development. However, the site has been allocated for housing in the draft Local Plan and the Council's planning department has already been informally consulted about the proposals and this dialogue will continue to ensure that the planning application is very likely to be acceptable in policy terms. Moreover, this aspect of the risk is very similar to that for a conventional sale of the land. The basis for section 106 contributions is already known, having been set out in the development brief.
- 5.1.5 Safeguards will be included in the JV agreement to ensure that both partners act properly and in good faith and in the event of the failure of the developer to complete the development, there will be a mechanism to re-claim the ownership of the land or undeveloped parts of it in order to realise the value through completion of the development or sale to another party.
- 5.1.6 Only the profit element will be variable and dependent on the success of the scheme, the land value will be payable regardless of profit levels.

6. FINANCIAL CONSIDERATIONS

- 6.1 As previously reported Capital Receipts of £2.891m still need to be achieved to realise the existing capital receipts target. The resources are committed to fund existing capital expenditure commitments.

6.2 As detailed earlier in the report, there are various options available to dispose of this land and risks and benefits associated with these options. The financial implications of these options are detailed 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.** Based on an assessment of these factors it is recommended that establishing a joint venture will maximize the financial value achieved by the Council from the sale of this land.

6.3 The financial downside to the joint venture is the achievement of the capital receipts will be phased over a number of years and the council will therefore have to use temporary prudential borrowing to manage the resulting cash flows. However the interest cost is marginal in comparison to the additional capital receipt from the joint venture, as detailed 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.**

7. LEGAL CONSIDERATIONS

7.1 The Chief Solicitor will be instructed to enter into the legal agreement with the successful tenderer. A joint venture arrangement will be more complex than a direct sale of the land and for instance will require various safeguards to be put in place for both parties..

8. CONSULTATION

8.1 There are no consultation implications relating to this report.

9. CHILD AND FAMILY POVERTY

9.1 There are no child and family poverty implications relating to this report.

10. EQUALITY AND DIVERSITY CONSIDERATIONS

10.1 There are no equality and diversity considerations relating to this report.

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

- 11.1 There are no Section 17 considerations relating to this report.

12. STAFF CONSIDERATIONS

- 12.1 There are no staff considerations relating to this report.

13. ASSET MANAGEMENT CONSIDERATIONS

- 13.1 The attention of the Committee is drawn to the Asset Management element of the Medium Term Financial Strategy. The decision by Members in January 2009 requires a commercial, proactive approach to be taken on Asset Management issues.
- 13.2 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.

14. RECOMMENDATIONS

- 14.1 It is recommended that Committee approve the acceptance of Tender No. 6 subject to the Director of Regeneration and Neighbourhoods and the Chief Solicitor finalising the details of the joint venture agreement with the agreement of the Chair of Finance and Policy Committee.

15. REASONS FOR RECOMMENDATIONS

- 15.1 Tender 6 is considered to offer the highest capital receipt of the tenders received whilst proposing a deliverable scheme likely to gain planning permission.
- 15.2 The land value and overall anticipated receipt set out in the recommended tender is considered to represent the market value of the land and an attractive return on the additional risk involved in the proposed joint venture.
- 15.3 The proposed joint venture partner is a North East based well established large scale residential developer experienced in working in partnership with other bodies including local authorities. They are therefore considered a very suitable partner, further details are given 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.

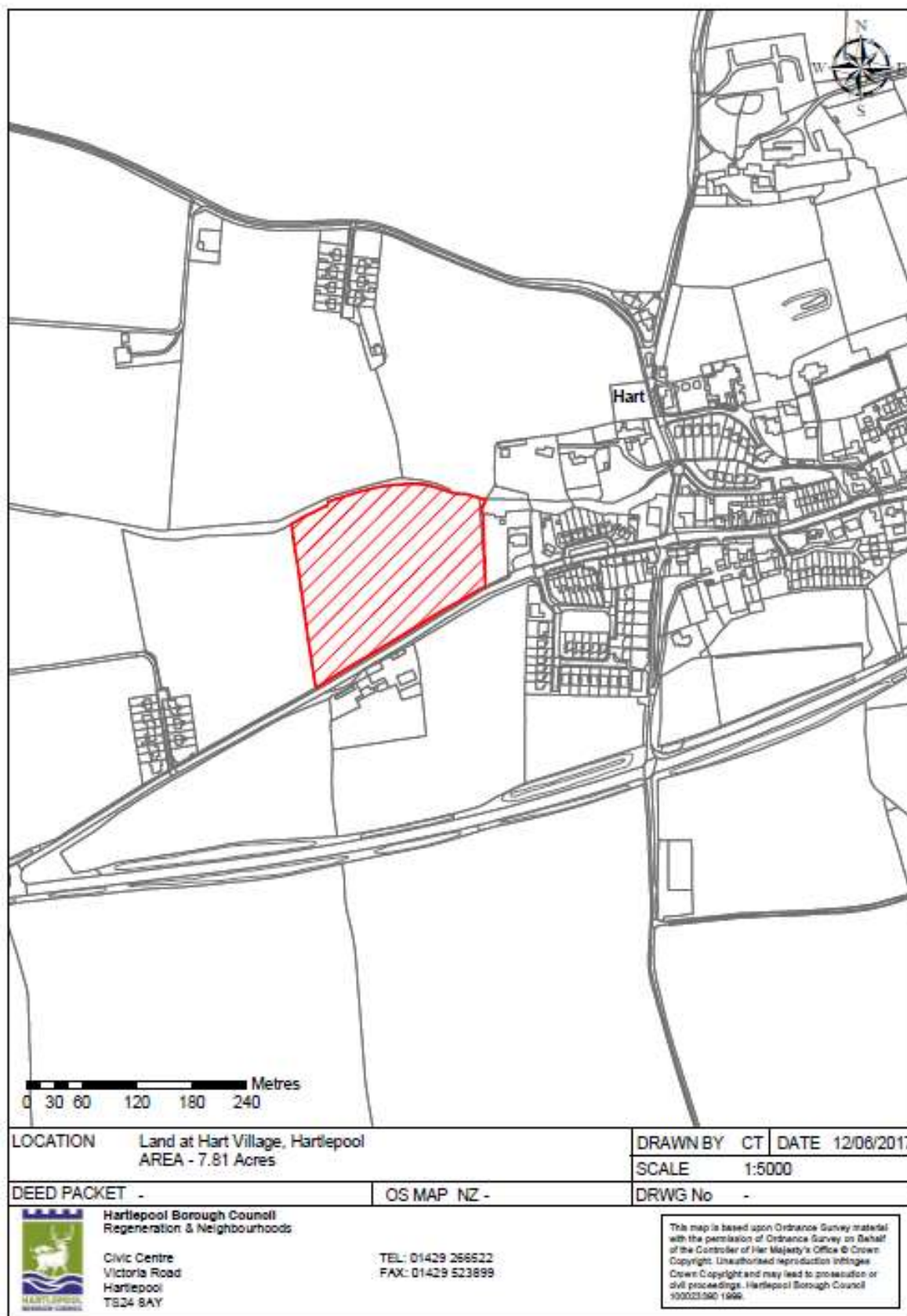
- 15.4 The level of risk involved in the project for the Council is considered to be relatively low for the return which should be achieved due to the proposed structure of the JV, the site and the current state of the residential property market. The site is a “greenfield” site in an excellent location where demand is anticipated to be very good, given the values prevailing for both new and secondhand property in Hart. Whilst additional abnormal development costs (which would reduce profit on sales) can never be entirely ruled out, site investigation and other due diligence should reduce this risk to a low level.
- 15.5 Of the other major risks, new property values and the speed of sales depends on the state of the wider market during the development and cannot be controlled. However, whilst the housing market in Hartlepool is not showing significant growth currently, the prices for detached houses have been quite stable since prices bottomed out in recent years following the financial crisis of 2007/09. Whilst there is some uncertainty in the national economic outlook Hartlepool has the advantage of being relatively affordable compared to other areas and for instance a rise in interest rates may have less impact here than elsewhere. Moreover, given that there is still a strong appetite from developers to build 3 and 4 bedroom detached houses in Hartlepool, there appears to be a view that this part of the market is still worth investing in.
- 15.6 Construction costs have risen recently partly due to labour shortages and this could have some impact on profitability but the effect is not expected to be large. Sensitivity analysis has been carried out on the income and cost projections to set out likely best and worst case scenarios and the results are given 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.**

16. BACKGROUND PAPERS

- 16.1 There are no Background Papers in this instance.

17. CONTACT OFFICER

- 17.1 Denise Ogden
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FINANCE AND POLICY COMMITTEE

18 September 2017



Report of: Chief Solicitor

Subject: THE EU GENERAL DATA PROTECTION
REGULATION (GDPR)

1. TYPE OF DECISION/APPLICABLE CATEGORY

Non key.

2. PURPOSE OF REPORT

- 2.1 This report outlines the changes that the Council will need to undertake in order to achieve compliance in implementing the General Data Protection Regulations (GDPR). On the 4th May 2016, the GDPR (Regulation 2016/679) was published in the Official Journal of the European Union. A period of 20 days was required to elapse following this publication and consequently the GDPR came into force on the 25th May, 2016. It will have application from the 25th May, 2018, not least to allow public authorities and other organisations that have as its core activities the control and processing of personal data, the necessary time to prepare for the GDPR coming into force.

3. INTRODUCTION AND BACKGROUND

- 3.1 The GDPR will replace the current legislation relating to Data Protection and will be directly applicable in all member states without the need for implementing national legislation. Although, following the vote to leave the European Union, the United Kingdom will obviously still continue to be a member of the European Union in May 2018 and subject to EU law, including the GDPR. A feature of this Directive is the expanding territorial reach in so far as the GDPR captures data controllers and processes outside the European Union whose processing activities relate to the offering of goods or services (even for free) to, or monitoring the behaviour (within the EU) of, EU data subjects. Consequently, it is recognised by the Information Commissioners Office (ICO) that the UK will need to mirror the GDPR following “Brexit” as any unpermitted deviation from the regulations will deem the UK to be an ‘inadequate’ country for data protection purposes and EU member states will not be then able to trade within the UK. The Government

are presently considering through a consultation exercise what will form any permitted deviation from the regulations should be permitted. That consultation closes at the end of May, 2017 and therefore the whole impact of any deviations will need to be considered in due course.

- 3.2 The GDPR will impose significant changes in how information governance operates within public authorities. This legislation places onus on the accountability obligations on data controllers to demonstrate compliance. This includes, by way of example, the requirement to maintain certain documentation, to include data protection impact assessment where risks (which need to be evaluated) are present in the processing of information and implement data protection by design and by default, as outlined further within this report. Significantly, where data processing is carried out by public authorities, they must appoint a Data Protection Officer (DPO) as part of this accountability requirement. The DPO will need sufficient knowledge and competency to discharge this role particularly in relation to the processing activities which require conformity under this legislation. One of the key features of the GDPR is that data processes have direct obligations for the very first time. This includes obligations to maintain a written record of processing activities carried out on behalf of each controller.

4. AN OVERVIEW OF THE GDPR

4.1 (i) Appointment of the Data Protection Officer

Article 37 of the GDPR requires public authorities to appoint a Data Protection Officer. It is envisaged that officer who fulfils this statutory role, will initially manage and implement the reforms associated with the GDPR by the implementation date of the 25th May 2018. Thereafter, the DPO will have a specific role in relation to data protection compliance and processing activities across the Council. Given her background in information governance law, it is suggested that Hayley Martin, Head of Legal Services (Place) undertakes this role. In addition, soundings are being taken from neighbouring local authorities to see whether resources can be pooled to address this significant initiative and its successful implementation. The DPO's minimum tasks as identified in Article 39 of the GDPR is as follows:

- To inform and advise the organisation and its employees about their obligations to comply with the GDPR and other data protection laws.
- To monitor compliance with the GDPR and other data protection laws, including managing internal data protection activities, advice on data protection impact assessments; training of staff and the conduct internal audits.
- To be the first point of contact for supervisory authorities and for individuals whose data is processed (employees, customers etc).

An “overview of the General Data Protection Regulation (GDPR)” has been provided through the Information Commissioners Office and that document is appended to this report for further information (**Appendix 1**). In relation to the tasks of the DPO (as noted in Article 39 above) this should be seen as

“minimum tasks” and it is highlighted that the DPO should report to the highest management level in an organisation and should operate “independently” and should not be “dismissed or penalized in performing their task”. Furthermore, in echoing the statutory duties of principal officers under the provisions of the Local Government and Housing Act, 1989, adequate resources must be provided to enable DPO’s to meet their GDPR obligations.

(ii) Accountability and Governance

The GDPR actively seeks to promote accountability and governance. The new accountability principle in Article 5 (2) requires the Council to demonstrate compliance with this principle and that this is an obligation placed directly upon the local authority. As mentioned in the accompanying ICO guidance, compliance can be demonstrated through the implementation of appropriate technical and organisational measures, maintaining relevant documentation on processing activities and the use of data protection impact assessments where appropriate. This will necessarily require the Council’s Information Governance Group in association with the DPO to review all current internal data protection policies and procedures, revise and implement effective staff training for those involved with data protection activities with clear and definable records of processing activities. In this latter respect, the ICO would require the adoption of procedures that clearly outline the Council’s processing activities to be available to relevant supervisory authorities for any investigatory purposes.

(iii) Data Protection by Design and Data Protection by Default

Under the GDPR the Council has an obligation to implement technical and organisational measures to prove that the Council has considered and integrated data protection into its processing activities. This will require the Council to ensure that privacy and data protection is a key consideration in the early initiation stages of any project which includes the following;

- Building new IT systems for storing or accessing personal data;
- Developing legislation, policy or strategies that have privacy implications;
- Embarking on a data sharing innovative; or
- Using data for new purposes.

(iv) Data Protection Impact Assessments

Under article 35, a data protection impact assessment will need to be created in order to identify the most effective way to comply with the data protection obligations and to meet individual’s expectations of privacy. Again, the ICO has promoted the use of such impact assessments and references again made to their guidance document (pages 30 – 31 refer). It will be noted, that the DPO will be responsible for overseeing this process.

(v) Privacy Notices

There is an obligation on the Council under the GDPR to provide individuals with fair processing information in the form of a 'Privacy Notice'. Emphasis is placed upon the need for transparency in how personal data is handled and controlled. Whilst most the information that will need to be contained within the privacy notice is consistent with current obligations of the Data Protection Act 1998, the GDPR also requires further information to be placed within a privacy notice about the processing of personal data. This must include; concise, transparent, intelligible, easily accessible information, that is written in clear and plain language (particularly if addressed to a child) and made available free of charge.

(vi) Records of Processing Activities

A pro active approach in documenting processing activities is one of the features of the GDPR. It is suggested, that the Information Governance Group explores how data protection and audits thereof are carried out across all Council departments and this should be a feature of an annual audit to ensure compliance with the GDPR.

(vii) A change in the consent regime

Under the GDPR consent must be "explicit" for sensitive data. Further, the GDPR states that consent must be "freely given" and therefore requires the same to be recorded, showing affirmative action. An individual has the right to withdraw consent at any time. The GDPR contains new provisions intended to enhance protection of children's personal data. Where services are offered directly to a child, the Council needs to ensure that a privacy notice and any other documentation are clear and understandable to the child. If online services are provided, then the explicit consent from a parental guardian will be required. The GDPR states that parental/guardian consent for access to online services is required for a child aged 16 and under. Parental/guardian consent is not required where the processing is related to preventative or counseling services offered directly to a child.

(viii) New Rights for Individuals

The GDPR provides a right to be informed, namely that information provided has been fairly processed. There is in addition to the revised "Right of Access" wherein individuals have the right to obtain:

- Confirmation of their data being processed;
- Access to their personal data; and
- Other supplementary information.

This is essentially comparable to the existing 'Subject Access Requests' received under the Data Protection Act, 1998. However, Article 12 of the GDPR provides that the Council must provide copies of such information free of charge. Currently, there is a statutory charge of £10 in dealing with

such a request. Further, a Council can currently respond within 40 calendar days on a Subject Access Request. Under Article 14 of the GDPR information must be provided without delay and at the latest within one month of receipt. It should be noted that weekends and bank holidays are included within this time frame. Whilst it is not considered that the loss of this form of income is in any way substantial, there will need to be an audit of the costs associated with the general implementation of the GDPR. In particular, breaches of the GDPR are likely to lead to substantial fines based upon the level of culpability and there is the best practice recommendation from the ICO that where possible Local Authorities should be able to provide remote access to a secure self service system to allow individuals with direct access to his/her information. Again, the Information Governance Group will need to carefully explore along with the DPO, the ramifications behind such an initiative.

Individuals are currently entitled to have personal data rectified if it is either inaccurate or incomplete the GDPR takes this further and that any information has been disclosed to third parties, the Council must inform those individuals of that rectification, where possible. Another important feature of the GDPR follows the ECJ decision in the Google v Spain case with the “right to be forgotten” or “right of erasure” being given legislative effect. Hence an individual will be able to request the deletion or removal of personal data where there is no compelling reason for its continued processing. There is also additional rights of “data portability” wherein individuals can obtain and reuse their personal data for their own purposes across different services. The Council will therefore be required to keep accurate documentation demonstrating its compliance with this particular feature of the regulations. An individual also has a right to “object” for example, for the purposes of direct marketing and again this needs to be reflected in revised policies and procedures operating within the Council.

(ix) Data Breach Notification

The GDPR introduces a new legal duty on public authorities to report certain types of data breaches to the relevant supervisory authority namely the ICO and in some cases to the individuals affected. Significantly, this should be done without undue delay and where feasible within 72 hours of awareness. A reason for justification must be provided if this timeframe is not met. However of note, there is a general obligation currently upon public bodies to notify the ICO of “serious” data breaches. Notification does not need to be made if the breach is unlikely to result in a risk to the rights and freedoms of individuals. Hence, notification is likely to be where there’s “high risk” to rights and freedoms. A failure to comply with this feature of the GDPR indicates fines as significant, being categorised as either Level 1 fines (potentially 10 million euros or 2% of worldwide annual turnover -whichever is the greatest) and 20 million euros or 4% of total worldwide annual turnover (whichever is the greatest)) being Level 2 fines.

5. RISK IMPLICATIONS

- 5.1 The Council will be statutorily obliged to implement the GDPR provisions and it is noted within the report the draconian penalties associated with breach of the data protection measures under the regulations.

6. FINANCIAL CONSIDERATIONS

- 6.1 There will be undoubted financial pressures placed upon the Council in implementing these data protection reforms. Requests have been made to neighbouring Tees Valley partners as to sharing of costs, but whilst matters stand at a formative point and reforms to the Data Protection Act, 1998 are still awaited it is difficult to gauge the full financial impact upon the Council. Hence the third recommendation contained in this report and it is suggested that further reports are brought before the Committee specifically upon this issue.

7. LEGAL CONSIDERATIONS

- 7.1 Implementation of these changes to data protection will be a statutory requirement and the report provides an overview of the legal considerations.

8. CONSULTATION

- 8.1 Consultation is not required at this time, but subject to parliamentary changes to the Data Protection Act, 1998.

9. CHILD AND FAMILY POVERTY IMPACT

Not applicable at this stage.

10. EQUALITY AND DIVERSITY CONSIDERATIONS

Not applicable at this stage.

11. STAFF CONSIDERATIONS

- 11.1 The DPO is to be appointed within existing resources but that officer and colleagues within the Council's Information Governance Group will need to undertake a full review of all operational policies and procedures relating specifically to data protection and generally to conformity with the Council's information governance compliance.

12. ASSET MANAGEMENT CONSIDERATIONS

- 12.1 Not applicable at this stage

13. SUMMARY AND CONCLUSIONS

- 13.1 The Council needs to proceed expeditiously in meeting the implementation date for the GDPR on the 25th May, 2018. Clearly, the GDPR places great emphasise on a public authority being able to demonstrate its compliance and accountability under this new regime in relation to information governance and overall management of Data Protection as a corporate issue. Consequently, the Council needs to appoint a Data Protection Officer as a key statutory requirement to comply with the GDPR. Further, it needs to establish a clear framework for accountability with clear analysis of the legal basis of which the Council uses and processes personal data. It also needs in place clear policies and procedures to ensure it can react quickly to any data breach and to make notifications, where required, within required time limits. It also needs to ensure that privacy is embedded into any new processing or product that is to be utilised. This needs to be a fundamental consideration in the very early stages of any project, which has as its feature the control and processing of personal data. Furthermore, all public bodies need to be mindful and prepared for data subjects to exercise their rights under the GDPR, as outlined, in overview, within this report.

14. RECOMMENDATION

- (i) The contents of the report are noted and considered.
- (ii) That the Council appoints the Head of Legal Services (Place) as Data Protection Officer with responsibility of the implementation of the GDPR and Data Protection compliance within the Council.
- (iii) That the Data Protection Officer in unison with the Council's Information Governance Group explore the implementation of the GDPR with a full review of the existing policies and procedures with associated budgetary considerations, IT capability and associated governance and communication implications for the Council.

15. REASONS FOR RECOMMENDATION

- 15.1 The GDPR will replace the current Data Protection regime and has direct affect in all EU member states with application from the 25th May, 2018. This is a major step towards the digitisation of information but of note, the expanded territorially application of the GDPR will affect both EU and non EU data controllers. A key feature of the GDPR is the accountability obligation on data controllers to demonstrate full compliance with this legislation. Data controllers and processes including public authorities must designate a Data Protection Officer as part of their accountability programme. A key feature of a GDPR is that data processes will have direct obligations for the very first time which will include the need to maintain accurate written records and identification of becoming aware of personal data breaches. This is a fundamental piece of legislation which requires careful and considerate planning upon which a corporate focus needs to be adopted.

16. CONTACT OFFICER

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General Data Protection

Regulation (GDPR)

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Introduction

Introduction

This overview highlights the key themes of the General Data Protection Regulation (GDPR) to help organisations understand the new legal framework in the EU. It explains the similarities with the existing UK Data Protection Act 1998 (DPA), and describes some of the new and different requirements. It is for those who have day-to-day responsibility for data protection.

This is a living document and we are working to expand it in key areas. It includes links to relevant sections of the GDPR itself, to other ICO guidance and to guidance produced by the EU's Article 29 Working Party. The Working Party includes representatives of the data protection authorities from each EU member state, and the ICO is the UK's representative.

The GDPR will apply in the UK from 25 May 2018. The government has confirmed that the UK's decision to leave the EU will not affect the commencement of the GDPR.

The ICO is committed to assisting businesses and public bodies to prepare to meet the requirements of the GDPR ahead of May 2018 and beyond. We acknowledge that there may still be questions about how the GDPR would apply in the UK on leaving the EU, but this should not distract from the important task of compliance with the GDPR.

With so many businesses and services operating across borders, international consistency around data protection laws and rights is crucial both to businesses and organisations, and to individuals. The ICO's role has always involved working closely with regulators in other countries, and that will continue to be the case. Having clear laws with safeguards in place is more important than ever given the growing digital economy, and we will work with government to stay at the centre of these conversations about the long term future of UK data protection law and to provide our advice and counsel where appropriate.

Who does the GDPR apply to?

- The GDPR applies to 'controllers' **and** 'processors'. The definitions are broadly the same as under the DPA – ie the controller says how and why personal data is processed and the processor acts on the controller's behalf. If you are currently subject to the DPA, it is likely that you will also be subject to the GDPR.

If you are a processor, the GDPR places specific legal obligations on you; for example, you are required to maintain records of personal data and processing activities. You will have significantly more legal liability if you are responsible for a breach. These obligations for processors are a new requirement under the GDPR.

However, if you are a controller, you are not relieved of your obligations where a processor is involved – the GDPR places further obligations on you to ensure your contracts with processors comply with the GDPR.

- The GDPR applies to processing carried out by organisations operating within the EU. It also applies to organisations outside the EU that offer goods or services to individuals in the EU.
- The GDPR does not apply to certain activities including processing covered by the [Law Enforcement](#)

[Directive](#), processing for national security purposes and processing carried out by individuals purely for personal/household activities.

Further reading in the GDPR

 [See Articles 3, 28-31 and Recitals 22-25, 81-82](#) 

External link

What information does the GDPR apply to?

Personal data

Like the DPA, the GDPR applies to 'personal data'. However, the GDPR's definition is more detailed and makes it clear that information such as an online identifier – eg an IP address – can be personal data. The more expansive definition provides for a wide range of personal identifiers to constitute personal data, reflecting changes in technology and the way organisations collect information about people.

For most organisations, keeping HR records, customer lists, or contact details etc, the change to the definition should make little practical difference. You can assume that if you hold information that falls within the scope of the DPA, it will also fall within the scope of the GDPR.

The GDPR applies to both automated personal data and to manual filing systems where personal data are accessible according to specific criteria. This is wider than the DPA's definition and could include chronologically ordered sets of manual records containing personal data.

Personal data that has been pseudonymised – eg key-coded – can fall within the scope of the GDPR depending on how difficult it is to attribute the pseudonym to a particular individual.

Sensitive personal data

The GDPR refers to sensitive personal data as "special categories of personal data" (see Article 9). These categories are broadly the same as those in the DPA, but there are some minor changes.

For example, the special categories specifically include genetic data, and biometric data where processed to uniquely identify an individual.

Personal data relating to criminal convictions and offences are not included, but similar extra safeguards apply to its processing (see Article 10).

Further reading in the GDPR

 [See Articles 2, 4, 9, 10 and Recitals 1, 2, 26, 51](#) 

External link

What's new

What's new

We will update this page monthly to highlight and link to what's new in our Overview of the GDPR.

July 2017

In the [Key areas to consider](#) we have updated the next steps in regard to the ICO's consent guidance and the Article 29 Working Party's Europe-wide consent guidelines.

June 2017

The Article 29 Working Party's consultation on their [guidelines on high risk processing and data protection impact assessments](#) [↗](#) closed on 23 May. We await the adoption of the final version.

May 2017

We have updated our [GDPR 12 steps to take now document](#)

We have added a [Getting ready for GDPR checklist to our self-assessment toolkit](#)

April 2017

We have published our [profiling discussion paper for feedback](#) [↗](#).

March 2017

We have published our [draft consent guidance for public consultation](#).

January 2017

Article 29 have published the following guidance, which is now included in our overview:

- [Data portability](#)
- [Lead supervisory authorities](#)
- [Data protection officers](#)

Next steps

Article 29 are planning the following guidance:

- Consent
- Transparency
- Profiling
- High risk processing

- Certification
- Administrative fines
- Breach notification
- Data transfers

The ICO are planning guidance on:

- Contracts and liability

Principles

Under the GDPR, the data protection principles set out the main responsibilities for organisations.

The principles are similar to those in the DPA, with added detail at certain points and a new **accountability** requirement. The GDPR does not have principles relating to individuals' rights or overseas transfers of personal data - these are specifically addressed in separate articles (see GDPR Chapter III and Chapter V respectively).

The most significant addition is the accountability principle. The GDPR requires you to show **how** you comply with the principles – for example by documenting the decisions you take about a processing activity. [This is explained in greater detail later in this guide.](#)

Article 5 of the GDPR requires that personal data shall be:



- (a) processed lawfully, fairly and in a transparent manner in relation to individuals;
- (b) collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes; further processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes shall not be considered to be incompatible with the initial purposes;
- (c) adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed;
- (d) accurate and, where necessary, kept up to date; every reasonable step must be taken to ensure that personal data that are inaccurate, having regard to the purposes for which they are processed, are erased or rectified without delay;
- (e) kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed; personal data may be stored for longer periods insofar as the personal data will be processed solely for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes subject to implementation of the appropriate technical and organisational measures required by the GDPR in order to safeguard the rights and freedoms of individuals;
- (f) processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.

Article 5(2) requires that

“the controller shall be responsible for, and be able to demonstrate, compliance with the principles.”

Further reading in the GDPR

[See Article 5 and Recital 39](#)

Key areas to consider

Lawful processing

For processing to be lawful under the GDPR, you need to identify a lawful basis before you can process personal data. These are often referred to as the “conditions for processing” under the DPA.

It is important that you determine your lawful basis for processing personal data and document this.

This becomes more of an issue under the GDPR because your lawful basis for processing has an effect on individuals’ rights. For example, if you rely on someone’s consent to process their data, they will generally have stronger rights, for example to have their data deleted.

The GDPR allows member states to introduce more specific provisions in relation to Articles 6(1)(c) and (e):



“(c) processing is necessary for compliance with a legal obligation”;

“(e) processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.”

These provisions are particularly relevant to public authorities and highly regulated sectors.

The tables below set out the lawful bases available for processing personal data and special categories of data.

Lawfulness of processing conditions

6(1)(a) – Consent of the data subject

6(1)(b) – Processing is necessary for the performance of a contract with the data subject or to take steps to enter into a contract

6(1)(c) – Processing is necessary for compliance with a legal obligation

6(1)(d) – Processing is necessary to protect the vital interests of a data subject or another person

6(1)(e) – Processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller

6(1)(f) – Necessary for the purposes of legitimate interests pursued by the controller or a third party, except where such interests are overridden by the interests, rights or freedoms of the data subject

Note that this condition is not available to processing carried out by public authorities in the performance of their tasks.

Conditions for special categories of data

- 9(2)(a) – Explicit consent of the data subject, unless reliance on consent is prohibited by EU or Member State law
- 9(2)(b) – Processing is necessary for carrying out obligations under employment, social security or social protection law, or a collective agreement
- 9(2)(c) – Processing is necessary to protect the vital interests of a data subject or another individual where the data subject is physically or legally incapable of giving consent
- 9(2)(d) – Processing carried out by a not-for-profit body with a political, philosophical, religious or trade union aim provided the processing relates only to members or former members (or those who have regular contact with it in connection with those purposes) and provided there is no disclosure to a third party without consent
- 9(2)(e) – Processing relates to personal data manifestly made public by the data subject
- 9(2)(f) – Processing is necessary for the establishment, exercise or defence of legal claims or where courts are acting in their judicial capacity
- 9(2)(g) – Processing is necessary for reasons of substantial public interest on the basis of Union or Member State law which is proportionate to the aim pursued and which contains appropriate safeguards
- 9(2)(h) – Processing is necessary for the purposes of preventative or occupational medicine, for assessing the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or management of health or social care systems and services on the basis of Union or Member State law or a contract with a health professional
- 9(2)(i) – Processing is necessary for reasons of public interest in the area of public health, such as protecting against serious cross-border threats to health or ensuring high standards of healthcare and of medicinal products or medical devices
- 9(2)(j) – Processing is necessary for archiving purposes in the public interest, or scientific and historical research purposes or statistical purposes in accordance with Article 89(1)

Further reading in the GDPR

 [See Articles 6-10 and Recitals 38, 40-50, 59](#) 

External link

Consent



Consent under the GDPR must be a freely given, specific, informed and unambiguous indication of the individual's wishes. There must be some form of clear affirmative action – or in other words, a positive opt-in – consent cannot be inferred from silence, pre-ticked boxes or inactivity. Consent must also be separate from other terms and conditions, and you will need to provide simple ways for people to withdraw consent. Public authorities and employers will need to take particular care to ensure that consent is freely given.

Consent has to be verifiable, and individuals generally have more rights where you rely on consent to process their data.

Remember that you can rely on other lawful bases apart from consent – for example, where processing is necessary for the purposes of your organisation's or a third party's legitimate interests.

You are not required to automatically 'repaper' or refresh all existing DPA consents in preparation for the GDPR. But if you rely on individuals' consent to process their data, make sure it will meet the GDPR standard on being specific, granular, clear, prominent, opt-in, properly documented and easily withdrawn. If not, alter your consent mechanisms and seek fresh GDPR-compliant consent, or find an alternative to consent.

Further reading in the GDPR

 [See Articles 4\(11\), 6\(1\)\(a\), 7, 8, 9\(2\)\(a\) and Recitals 32, 38, 40, 42, 43, 51, 59, 171](#) 
External link

Next steps for the Article 29 Working Party

The Article 29 Working Party are due to publish guidelines on consent in 2017 and the latest timetable is for this to be agreed and adopted in December 2017.

Next steps for the ICO

We have published our [draft consent guidance for public consultation](#). The deadline for responses has now passed. We are analysing the feedback received and this will feed into the final version. However we will not be able to publish the final version of our guidance until the Article 29 Working Party of European Data Protection Authorities has agreed its Europe-wide consent guidelines.

Children's personal data

The GDPR contains new provisions intended to enhance the protection of children's personal data.

Privacy notices for children

Where services are offered directly to a child, you must ensure that your privacy notice is written in a clear, plain way that a child will understand.

Online services offered to children

If you offer an 'information society service' (ie online service) to children, you may need to obtain consent from a parent or guardian to process the child's data.

The GDPR states that, if consent is your basis for processing the child's personal data, a child under the age of 16 can't give that consent themselves and instead consent is required from a person holding 'parental responsibility' – but note that it does permit member states to provide for a lower age in law,

as long as it is not below 13.

'Information society services' includes most internet services provided at the user's request, normally for remuneration. The GDPR emphasises that protection is particularly significant where children's personal information is used for the purposes of marketing and creating online profiles.

Parental/guardian consent is not required where the processing is related to preventative or counselling services offered directly to a child.

Further reading in the GDPR

 [See Article 8 and Recital 38, 58, 71](#) 

External link

Next steps for the ICO

The ICO is working on the issue of children's personal data and we aim to publish output from this in 2017.

Individuals' rights

The GDPR creates some new rights for individuals and strengthens some of the rights that currently exist under the DPA.

The GDPR provides the following rights for individuals:

1. The right to be informed
2. The right of access
3. The right to rectification
4. The right to erasure
5. The right to restrict processing
6. The right to data portability
7. The right to object
8. Rights in relation to automated decision making and profiling.

This part of the overview explains these rights.

The right to be informed

In brief...

The right to be informed encompasses your obligation to provide 'fair processing information', typically through a privacy notice. It emphasises the need for transparency over how you use personal data.

In more detail...

What information must be supplied?

The GDPR sets out the information that you should supply and when individuals should be informed.








The information you supply is determined by whether or not you obtained the personal data directly from individuals. See the table below for further information on this.

Much of the information you should supply is consistent with your current obligations under the DPA, but there is some further information you are explicitly required to provide.

The information you supply about the processing of personal data must be:

- concise, transparent, intelligible and easily accessible;
- written in clear and plain language, particularly if addressed to a child; and
- free of charge.

The table below summarises the information you should supply to individuals and at what stage.

What information must be supplied?	Data obtained directly from data subject	Data not obtained directly from data subject
Identity and contact details of the controller and where applicable, the controller's representative) and the data protection officer		
Purpose of the processing and the lawful basis for the processing		
The legitimate interests of the controller or third party, where applicable		
Categories of personal data		

Any recipient or categories of recipients of the personal data



Details of transfers to third country and safeguards



Retention period or criteria used to determine the retention period



The existence of each of data subject's rights



The right to withdraw consent at any time, where relevant



The right to lodge a complaint with a supervisory authority



The source the personal data originates from and whether it came from publicly accessible sources



Whether the provision of personal data part of a statutory or contractual requirement or obligation and possible consequences of failing to provide the personal data



The existence of automated decision making, including profiling and information about how decisions are made, the significance and the consequences.



When should information be provided?


At the time the data are obtained.

Within a reasonable period of having obtained the data (within one month)



If the data are used to communicate with the individual, at the latest, when the first communication takes place; or

If disclosure to another recipient is envisaged, at the latest, before the data are

Further reading – ICO guidance

 [Privacy notices, transparency and control](#)
For organisations

Further reading in the GDPR

 [See Articles 12\(1\), 12\(5\), 12\(7\), 13 and 14 and Recitals 58-62](#) 
External link

Next steps for the Article 29 Working Party

According to its workplan, the Article 29 Working Party will publish guidance on transparency in 2017

The right of access

In brief...

What information is an individual entitled to under the GDPR?

Under the GDPR, individuals will have the right to obtain:

- confirmation that their data is being processed;
- access to their personal data; and
- other supplementary information – this largely corresponds to the information that should be provided in a privacy notice (see Article 15).

These are similar to existing subject access rights under the DPA.

In more detail...

What is the purpose of the right of access under GDPR?

The GDPR clarifies that the reason for allowing individuals to access their personal data is so that they are aware of and can verify the lawfulness of the processing (Recital 63).

Can I charge a fee for dealing with a subject access request?

You must provide a copy of the information free of charge. The removal of the £10 subject access fee is a significant change from the existing rules under the DPA.

However, you can charge a 'reasonable fee' when a request is manifestly unfounded or excessive, particularly if it is repetitive.

You may also charge a reasonable fee to comply with requests for further copies of the same information. This does not mean that you can charge for all subsequent access requests.

The fee must be based on the administrative cost of providing the information.

How long do I have to comply?

You will have less time to comply with a subject access request under the GDPR. Information must be provided without delay and at the latest within one month of receipt.

You will be able to extend the period of compliance by a further two months where requests are complex or numerous. If this is the case, you must inform the individual within one month of the receipt of the request and explain why the extension is necessary.

What if the request is manifestly unfounded or excessive?

Where requests are manifestly unfounded or excessive, in particular because they are repetitive, you can:

- charge a reasonable fee taking into account the administrative costs of providing the information; or
- refuse to respond.

Where you refuse to respond to a request, you must explain why to the individual, informing them of their right to complain to the supervisory authority and to a judicial remedy without undue delay and at the latest within one month.

How should the information be provided?

You must verify the identity of the person making the request, using “reasonable means”.

If the request is made electronically, you should provide the information in a commonly used electronic format.

The GDPR introduces a new best practice recommendation that, where possible, organisations should be able to provide remote access to a secure self-service system which would provide the individual with direct access to his or her information (Recital 63). This will not be appropriate for all organisations, but there are some sectors where this may work well.

The right to obtain a copy of information or to access personal data through a remotely accessed secure system should not adversely affect the rights and freedoms of others.

What about requests for large amounts of personal data?

Where you process a large quantity of information about an individual, the GDPR permits you to ask the individual to specify the information the request relates to (Recital 63).

The GDPR does not introduce an exemption for requests that relate to large amounts of data, but you may be able to consider whether the request is manifestly unfounded or excessive.

Further reading in the GDPR

 [See Article 12, 15 and Recital 63](#) 

External link

The right to rectification

In brief

When should personal data be rectified?

Individuals are entitled to have personal data rectified if it is inaccurate or incomplete.

If you have disclosed the personal data in question to third parties, you must inform them of the rectification where possible. You must also inform the individuals about the third parties to whom the data has been disclosed where appropriate.

In more detail...

How long do I have to comply with a request for rectification?

You must respond within one month.

This can be extended by two months where the request for rectification is complex.

Where you are not taking action in response to a request for rectification, you must explain why to the individual, informing them of their right to complain to the supervisory authority and to a judicial remedy.

Further reading in the GDPR

 [See Articles 12, 16 and 19](#) 

External link

The right to erasure

In brief...

The right to erasure is also known as 'the right to be forgotten'. The broad principle underpinning this right is to enable an individual to request the deletion or removal of personal data where there is no compelling reason for its continued processing.

In more detail...

When does the right to erasure apply?

The right to erasure does not provide an absolute 'right to be forgotten'. Individuals have a right to have personal data erased and to prevent processing in specific circumstances:

- Where the personal data is no longer necessary in relation to the purpose for which it was originally collected/processed.
- When the individual withdraws consent.
- When the individual objects to the processing and there is no overriding legitimate interest for continuing the processing.
- The personal data was unlawfully processed (ie otherwise in breach of the GDPR).
- The personal data has to be erased in order to comply with a legal obligation.
- The personal data is processed in relation to the offer of information society services to a child.

Under the DPA, the right to erasure is limited to processing that causes unwarranted and substantial damage or distress. Under the GDPR, this threshold is not present. However, if the processing does cause damage or distress, this is likely to make the case for erasure stronger.

There are some specific circumstances where the right to erasure does not apply and you can refuse to deal with a request.

When can I refuse to comply with a request for erasure?

You can refuse to comply with a request for erasure where the personal data is processed for the following reasons:

- to exercise the right of freedom of expression and information;
- to comply with a legal obligation or for the performance of a public interest task or exercise of official authority;
- for public health purposes in the public interest;
- archiving purposes in the public interest, scientific research historical research or statistical purposes;
or
- the exercise or defence of legal claims.

How does the right to erasure apply to children's personal data?

There are extra requirements when the request for erasure relates to children's personal data, reflecting the GDPR emphasis on the enhanced protection of such information, especially in online environments.

If you process the personal data of children, you should pay special attention to existing situations where a child has given consent to processing and they later request erasure of the data (regardless of age at the time of the request), especially on social networking sites and internet forums. This is because a child may not have been fully aware of the risks involved in the processing at the time of consent (Recital 65).

Do I have to tell other organisations about the erasure of personal data?

If you have disclosed the personal data in question to third parties, you must inform them about the erasure of the personal data, unless it is impossible or involves disproportionate effort to do so.

The GDPR reinforces the right to erasure by clarifying that organisations in the online environment who make personal data public should inform other organisations who process the personal data to erase links to, copies or replication of the personal data in question.

While this might be challenging, if you process personal information online, for example on social networks, forums or websites, you must endeavour to comply with these requirements.

As in the example below, there may be instances where organisations that process the personal data may not be required to comply with this provision because an exemption applies.

Example

A search engine notifies a media publisher that it is delisting search results linking to a news report as a result of a request for erasure from an individual. If the publication of the article is protected by the freedom of expression exemption, then the publisher is not required to erase the article.

Further reading in the GDPR

 [See Articles 17, 19 and Recitals 65 and 66](#) 

External link

The right to restrict processing

In brief...

Under the DPA, individuals have a right to 'block' or suppress processing of personal data. The restriction of processing under the GDPR is similar.

When processing is restricted, you are permitted to store the personal data, but not further process it. You can retain just enough information about the individual to ensure that the restriction is respected in future.

In more detail...

When does the right to restrict processing apply?

You will be required to restrict the processing of personal data in the following circumstances:



- Where an individual contests the accuracy of the personal data, you should restrict the processing until you have verified the accuracy of the personal data.
- Where an individual has objected to the processing (where it was necessary for the performance of a public interest task or purpose of legitimate interests), and you are considering whether your organisation's legitimate grounds override those of the individual.
- When processing is unlawful and the individual opposes erasure and requests restriction instead.
- If you no longer need the personal data but the individual requires the data to establish, exercise or defend a legal claim.

You may need to review procedures to ensure you are able to determine where you may be required to restrict the processing of personal data.

If you have disclosed the personal data in question to third parties, you must inform them about the restriction on the processing of the personal data, unless it is impossible or involves disproportionate effort to do so.

You must inform individuals when you decide to lift a restriction on processing.

Further reading in the GDPR

 [See Articles 18, 19 and Recital 67](#) 

External link

The right to data portability

In brief...

The right to data portability allows individuals to obtain and reuse their personal data for their own purposes across different services.

It allows them to move, copy or transfer personal data easily from one IT environment to another in a safe and secure way, without hindrance to usability.

Some organisations in the UK already offer data portability through the midata and similar initiatives which allow individuals to view, access and use their personal consumption and transaction data in a way that is portable and safe. It enables consumers to take advantage of applications and services which can use this data to find them a better deal, or help them understand their spending habits.

Example

midata is used to improve transparency across the banking industry by providing personal current account customers access to their transactional data for their account(s), which they can upload to a third party price comparison website to compare and identify best value. A price comparison website displays alternative current account providers based on their own calculations.

In more detail...

When does the right to data portability apply?

The right to data portability only applies:

- to personal data an individual has provided to a controller;
- where the processing is based on the individual's consent or for the performance of a contract; and
- when processing is carried out by automated means.

How do I comply?

You must provide the personal data in a structured, commonly used and machine readable form. Open formats include CSV files. Machine readable means that the information is structured so that software can extract specific elements of the data. This enables other organisations to use the data.

The information must be provided free of charge.

If the individual requests it, you may be required to transmit the data directly to another organisation if this is technically feasible. However, you are not required to adopt or maintain processing systems that are technically compatible with other organisations.

If the personal data concerns more than one individual, you must consider whether providing the information would prejudice the rights of any other individual.



How long do I have to comply?

You must respond without undue delay, and within one month.


This can be extended by two months where the request is complex or you receive a number of requests. You must inform the individual within one month of the receipt of the request and explain why the extension is necessary.

Where you are not taking action in response to a request, you must explain why to the individual, informing them of their right to complain to the supervisory authority and to a judicial remedy without undue delay and at the latest within one month.

Further reading in the GDPR

 [See Articles 12, 20 and Recital 68](#) 
External link

Further reading from the Article 29 Working Party

The Article 29 Working Party has published [guidelines](#)  and [FAQs](#)  on data portability for organisations.

The right to object

In brief...

When does the right to object apply?

Individuals have the right to object to:

- processing based on legitimate interests or the performance of a task in the public interest/exercise of official authority (including profiling);
- direct marketing (including profiling); and
- processing for purposes of scientific/historical research and statistics.

In more detail...

How do I comply with the right to object?

If you process personal data for the performance of a legal task or your organisation's legitimate interests

Individuals must have an objection on "grounds relating to his or her particular situation".

You must stop processing the personal data unless:

- you can demonstrate compelling legitimate grounds for the processing, which override the interests, rights and freedoms of the individual; or
- the processing is for the establishment, exercise or defence of legal claims.

You must inform individuals of their right to object "at the point of first communication" and in your privacy notice.

This must be "explicitly brought to the attention of the data subject and shall be presented clearly and separately from any other information".

If you process personal data for direct marketing purposes

You must stop processing personal data for direct marketing purposes as soon as you receive an objection. There are no exemptions or grounds to refuse.

You must deal with an objection to processing for direct marketing at any time and free of charge.

You must inform individuals of their right to object "at the point of first communication" and in your privacy notice.

This must be "explicitly brought to the attention of the data subject and shall be presented clearly and separately from any other information".

These requirements are similar to existing rules under the DPA.

If you process personal data for research purposes

Individuals must have “grounds relating to his or her particular situation” in order to exercise their right to object to processing for research purposes.

If you are conducting research where the processing of personal data is necessary for the performance of a public interest task, you are not required to comply with an objection to the processing.

If your processing activities fall into any of the above categories and are carried out online:

You must offer a way for individuals to object online.

Further reading in the GDPR

 [See Articles 12, 21 and Recitals 69 and 70](#) 

External link

Rights related to automated decision making and profiling

In brief...

The GDPR provides safeguards for individuals against the risk that a potentially damaging decision is taken without human intervention. These rights work in a similar way to existing rights under the DPA.

Identify whether any of your processing operations constitute automated decision making and consider whether you need to update your procedures to deal with the requirements of the GDPR.

In more detail...

When does the right apply?

Individuals have the right *not to be subject to a decision* when:

- it is based on automated processing; and
- it produces a legal effect or a similarly significant effect on the individual.

You must ensure that individuals are able to:

- obtain human intervention;
- express their point of view; and
- obtain an explanation of the decision and challenge it.

Does the right apply to all automated decisions?

No. The right does not apply if the decision:

- is necessary for entering into or performance of a contract between you and the individual;
- is authorised by law (eg for the purposes of fraud or tax evasion prevention); or
- based on explicit consent. (Article 9(2)).

Furthermore, the right does not apply when a decision does not have a legal or similarly significant effect on someone.

What else does the GDPR say about profiling?

The GDPR defines profiling as any form of automated processing intended to evaluate certain personal aspects of an individual, in particular to analyse or predict their:

- performance at work;
- economic situation;
- health;

- personal preferences;
- reliability;
- behaviour;
- location; or
- movements.

When processing personal data for profiling purposes, you must ensure that appropriate safeguards are in place.

You must:

- Ensure processing is fair and transparent by providing meaningful information about the logic involved, as well as the significance and the envisaged consequences.
- Use appropriate mathematical or statistical procedures for the profiling.
- Implement appropriate technical and organisational measures to enable inaccuracies to be corrected and minimise the risk of errors.
- Secure personal data in a way that is proportionate to the risk to the interests and rights of the individual and prevents discriminatory effects.

Automated decisions taken for the purposes listed in Article 9(2) **must not**:

- concern a child; or
- be based on the processing of special categories of data unless:
 - you have the explicit consent of the individual; or
 - the processing is necessary for reasons of substantial public interest on the basis of EU / Member State law. This must be proportionate to the aim pursued, respect the essence of the right to data protection and provide suitable and specific measures to safeguard fundamental rights and the interests of the individual.

Further reading in the GDPR


 [See Articles 4\(4\), 9, 22 and Recitals 71, 72](#) 

External link

Next steps for the Article 29 Working Party

According to its workplan, the Article 29 Working Party will publish guidelines on profiling in 2017.

Next steps for the ICO

We have published our [profiling discussion paper for feedback](#) . The deadline for responses has now passed. We will analyse the feedback received and will publish a summary of responses

in due course. This feedback will inform our input into the drafting of the EU guidance on profiling and automated decision-making.

Accountability and governance

In brief...

The GDPR includes provisions that promote accountability and governance. These complement the GDPR's transparency requirements. While the principles of accountability and transparency have previously been implicit requirements of data protection law, the GDPR's emphasis elevates their significance.

You are expected to put into place comprehensive but proportionate governance measures. Good practice tools that the ICO has championed for a long time such as privacy impact assessments and privacy by design are now legally required in certain circumstances.

Ultimately, these measures should minimise the risk of breaches and uphold the protection of personal data. Practically, this is likely to mean more policies and procedures for organisations, although many organisations will already have good governance measures in place.

In more detail...

- [What is the accountability principle?](#)
- [Records of processing activities \(documentation\)](#)
- [Data protection by design and by default](#)
- [Data protection impact assessments](#)
- [When does a Data Protection Officer need to be appointed under the GDPR?](#)
- [Codes of conduct and certification mechanisms](#)

What is the accountability principle?

The new accountability principle in Article 5(2) requires you to demonstrate that you comply with the principles and states explicitly that this is your responsibility.

How can I demonstrate that I comply?

You must:

- Implement appropriate technical and organisational measures that ensure and demonstrate that you comply. This may include internal data protection policies such as staff training, internal audits of processing activities, and reviews of internal HR policies.
- Maintain relevant documentation on processing activities.
- Where appropriate, appoint a data protection officer.
- Implement measures that meet the principles of data protection by design and data protection by default. Measures could include:
 - Data minimisation;

- Pseudonymisation;
 - Transparency;
 - Allowing individuals to monitor processing; and
 - Creating and improving security features on an ongoing basis.
- Use data protection impact assessments where appropriate.

You can also:

- Adhere to approved codes of conduct and/or certification schemes. See the [section on codes of conduct and certification](#) for more detail.

Records of processing activities (documentation)

As well as your obligation to provide comprehensive, clear and transparent privacy policies (see section on [Individual rights](#)), if your organisation has more than 250 employees, you must maintain additional internal records of your processing activities.

If your organisation has less than 250 employees you are required to maintain records of activities related to higher risk processing, such as:

- processing personal data that could result in a risk to the rights and freedoms of individual; or
- processing of special categories of data or criminal convictions and offences.

What do I need to record?

You must maintain internal records of processing activities. You must record the following information. There are some similarities with 'registrable particulars' under the DPA which must be notified to the ICO.

- Name and details of your organisation (and where applicable, of other controllers, your representative and data protection officer).
- Purposes of the processing.
- Description of the categories of individuals and categories of personal data.
- Categories of recipients of personal data.
- Details of transfers to third countries including documentation of the transfer mechanism safeguards in place.
- Retention schedules.
- Description of technical and organisational security measures.

You may be required to make these records available to the relevant supervisory authority for purposes of an investigation.

Further reading in the GDPR

 [See Article 30, Recital 82.](#) 

External link

Further reading from the Article 29 Working Party

The Article 29 Working Party has [published guidelines on lead supervisory authorities](#) and [lead supervisory authority FAQs](#). These are intended to assist in identifying which is the lead supervisory authority when a controller or processor is carrying out cross-border processing of personal data.

Data protection by design and by default

Under the GDPR, you have a general obligation to implement technical and organisational measures to show that you have considered and integrated data protection into your processing activities.

Under the DPA, privacy by design has always been an implicit requirement of the principles - eg relevance and non-excessiveness - that the ICO has consistently championed. The ICO has published [guidance in this area](#).

Further reading in the GDPR

 [See Article 25 and Recital 78](#)

External link

Data protection impact assessments

What is a data protection impact assessment?

Data protection impact assessments (DPIAs) (also known as privacy impact assessments or PIAs) are a tool which can help organisations identify the most effective way to comply with their data protection obligations and meet individuals' expectations of privacy. An effective DPIA will allow organisations to identify and fix problems at an early stage, reducing the associated costs and damage to reputation which might otherwise occur.

While not a legal requirement under the DPA, the ICO has promoted the use of DPIAs as an integral part of taking a privacy by design approach. See the ICO's [Conducting privacy impact assessments code of practice](#) for good practice advice.

When do I need to conduct a DPIA?

You must carry out a DPIA when:

- using new technologies; and
- the processing is likely to result in a high risk to the rights and freedoms of individuals.

Processing that is likely to result in a high risk includes (but is not limited to):

- systematic and extensive processing activities, including profiling and where decisions that have legal effects – or similarly significant effects – on individuals.
- large scale processing of special categories of data or personal data relation to criminal convictions or offences.

This includes processing a considerable amount of personal data at regional, national or supranational level; that affects a large number of individuals; and involves a high risk to rights and freedoms eg based on the sensitivity of the processing activity.

- large scale, systematic monitoring of public areas (CCTV).

What information should the DPIA contain?


- A description of the processing operations and the purposes, including, where applicable, the legitimate interests pursued by the controller.
- An assessment of the necessity and proportionality of the processing in relation to the purpose.
- An assessment of the risks to individuals.
- The measures in place to address risk, including security and to demonstrate that you comply.
- A DPIA can address more than one project.

Further reading in the GDPR

 [See Articles 35, 36 and 83 and Recitals 84, 89-96](#) 

External link

Next steps

The Article 29 Working Party has [published guidelines on high risk processing and DPIAs](#) . They invited comments on these and this consultation has now closed.

When does a Data Protection Officer need to be appointed under the GDPR?

Under the GDPR, you **must** appoint a data protection officer (DPO) if you:

- are a public authority (except for courts acting in their judicial capacity);
- carry out large scale systematic monitoring of individuals (for example, online behaviour tracking); or
- carry out large scale processing of special categories of data or data relating to criminal convictions and offences.

You may appoint a single data protection officer to act for a group of companies or for a group of public authorities, taking into account their structure and size.

Any organisation is able to appoint a DPO. Regardless of whether the GDPR obliges you to appoint a

DPO, you must ensure that your organisation has sufficient staff and skills to discharge your obligations under the GDPR.

What are the tasks of the DPO?

The DPO's minimum tasks are defined in Article 39:

- To inform and advise the organisation and its employees about their obligations to comply with the GDPR and other data protection laws.
- To monitor compliance with the GDPR and other data protection laws, including managing internal data protection activities, advise on data protection impact assessments; train staff and conduct internal audits.
- To be the first point of contact for supervisory authorities and for individuals whose data is processed (employees, customers etc).

What does the GDPR say about employer duties?

You must ensure that:

- The DPO reports to the highest management level of your organisation – ie board level.
- The DPO operates independently and is not dismissed or penalised for performing their task.
- Adequate resources are provided to enable DPOs to meet their GDPR obligations.

Can we allocate the role of DPO to an existing employee?

Yes. As long as the professional duties of the employee are compatible with the duties of the DPO and do not lead to a conflict of interests.

You can also contract out the role of DPO externally.

Does the data protection officer need specific qualifications?

The GDPR does not specify the precise credentials a data protection officer is expected to have.

It does require that they should have professional experience and knowledge of data protection law. This should be proportionate to the type of processing your organisation carries out, taking into consideration the level of protection the personal data requires.

Further reading in the GDPR

 [See Articles 37-39, 83 and Recital 97](#) 

External link

Further reading from the Article 29 Working Party

The Article 29 Working Party has [published guidelines on DPOs](#) and [DPO FAQs](#).

Further reading from the ICO

We are currently considering whether the ICO can provide any further detail over and above the Article 29 Working Party guidelines. We will add any additional advice we are able to provide here in due course.

Codes of conduct and certification mechanisms

The GDPR endorses the use of approved codes of conduct and certification mechanisms to demonstrate that you comply.

The specific needs of micro, small and medium sized enterprises must be taken into account.

Signing up to a code of conduct or certification scheme is not obligatory. But if an approved code of conduct or certification scheme that covers your processing activity becomes available, you may wish to consider working towards it as a way of demonstrating that you comply.

Adhering to codes of conduct and certification schemes brings a number of benefits over and above demonstrating that you comply. It can:

- improve transparency and accountability - enabling individuals to distinguish the organisations that meet the requirements of the law and they can trust with their personal data.
- provide mitigation against enforcement action; and
- improve standards by establishing best practice.

When contracting work to third parties, including processors, you may wish to consider whether they have signed up to codes of conduct or certification mechanisms.

Who is responsible for drawing up codes of conduct?

Governments and regulators can **encourage** the drawing up of codes of conduct.

Codes of conduct may be created by trade associations or representative bodies.

Codes should be prepared in consultation with relevant stakeholders, including individuals (Recital 99).

Codes must be approved by the relevant supervisory authority; and where the processing is cross-border, the European Data Protection Board (the EDPB).

Existing codes can be amended or extended to comply with the requirements under the GDPR.

What will codes of conduct address?

Codes of conduct should help you comply with the law, and may cover topics such as:

- fair and transparent processing;
- legitimate interests pursued by controllers in specific contexts;
- the collection of personal data;
- the pseudonymisation of personal data;
- the information provided to individuals and the exercise of individuals' rights;
- the information provided to and the protection of children (including mechanisms for obtaining parental consent);
- technical and organisational measures, including data protection by design and by default and security measures;
- breach notification;
- data transfers outside the EU; or
- dispute resolution procedures.

Practical implications

If you sign up to a code of conduct, you will be subject to mandatory monitoring by a body accredited by the supervisory authority.

If you infringe the requirements of the code of practice, you may be suspended or excluded and the supervisory authority will be informed. You also risk being subject to a fine of up to 10 million Euros or 2 per cent of your global turnover.

Adherence to a code of conduct may serve as a mitigating factor when a supervisory authority is considering enforcement action via an administrative fine.

Who is responsible for certification mechanisms?

Member states, supervisory authorities, the EDPB or the Commission are required to encourage the establishment of certification mechanisms to enhance transparency and compliance with the Regulation.

Certification will be issued by supervisory authorities or accredited certification bodies.

What is the purpose of a certification mechanism?

A certification mechanism is a way of you demonstrating that you comply, in particular, showing that you are implementing technical and organisational measures.

A certification mechanism may also be established to demonstrate the existence of appropriate safeguards related to the adequacy of data transfers.

They are intended to allow individuals to quickly assess the level of data protection of a particular product or service.

Practical implications

Certification does not reduce your data protection responsibilities.

You must provide all the necessary information and access to your processing activities to the certification body to enable it to conduct the certification procedure.

Any certification will be valid for a maximum of three years. It can be withdrawn if you no longer meet the requirements of the certification, and the supervisory authority will be notified.

If you fail to adhere to the standards of the certification scheme, you risk being subject to an administrative fine of up to 10 million Euros or 2 per cent of your global turnover.

Further reading in the GDPR

 [See Articles 40-43, 83 and Recitals 98, 99, 100, 148, 150, 151](#) 

External link

Next steps for the Article 29 Working Party

According to its workplan, the Article 29 Working Party will produce guidelines on certification in 2017. It also intends to publish guidelines, which are already under development, on imposing administrative fines.

Breach notification

In brief...

The GDPR will introduce a duty on all organisations to report certain types of data breach to the relevant supervisory authority, and in some cases to the individuals affected.

In more detail...

What is a personal data breach?

A personal data breach means a breach of security leading to the destruction, loss, alteration, unauthorised disclosure of, or access to, personal data. This means that a breach is more than just losing personal data.

Example

A hospital could be responsible for a personal data breach if a patient's health record is inappropriately accessed due to a lack of appropriate internal controls.

What breaches do I need to notify the relevant supervisory authority about?

You only have to notify the relevant supervisory authority of a breach where it is likely to result in a risk to the rights and freedoms of individuals. If unaddressed such a breach is likely to have a significant detrimental effect on individuals – for example, result in discrimination, damage to reputation, financial loss, loss of confidentiality or any other significant economic or social disadvantage.

This has to be assessed on a case by case basis. For example, you will need to notify the relevant supervisory authority about a loss of customer details where the breach leaves individuals open to identity theft. On the other hand, the loss or inappropriate alteration of a staff telephone list, for example, would not normally meet this threshold.

When do individuals have to be notified?

Where a breach is likely to result in a high risk to the rights and freedoms of individuals, you must notify those concerned directly.

A 'high risk' means the threshold for notifying individuals is higher than for notifying the relevant supervisory authority.

What information must a breach notification contain?

- The nature of the personal data breach including, where possible:
 - the categories and approximate number of individuals concerned; and

- the categories and approximate number of personal data records concerned;
- The name and contact details of the data protection officer (if your organisation has one) or other contact point where more information can be obtained;
- A description of the likely consequences of the personal data breach; and
- A description of the measures taken, or proposed to be taken, to deal with the personal data breach and, where appropriate, of the measures taken to mitigate any possible adverse effects.

How do I notify a breach?

A notifiable breach has to be reported to the relevant supervisory authority within 72 hours of the organisation becoming aware of it. The GDPR recognises that it will often be impossible to investigate a breach fully within that time-period and allows you to provide information in phases.

If the breach is sufficiently serious to warrant notification to the public, the organisation responsible must do so without undue delay.

Failing to notify a breach when required to do so can result in a significant fine up to 10 million Euros or 2 per cent of your global turnover.

What should I do to prepare for breach reporting?

You should make sure that your staff understands what constitutes a data breach, and that this is more than a loss of personal data.

You should ensure that you have an internal breach reporting procedure in place. This will facilitate decision-making about whether you need to notify the relevant supervisory authority or the public.

In light of the tight timescales for reporting a breach - it is important to have robust breach detection, investigation and internal reporting procedures in place.

Further reading in the GDPR

 [See Articles 33, 34, 83 and Recitals 85, 87, 88](#) 

External link

Next steps for the Article 29 Working Party

According to its workplan, the Article 29 Working Party will produce guidelines on the notification of personal data breaches in 2017.

Transfer of data

In brief...

The GDPR imposes restrictions on the transfer of personal data outside the European Union, to third countries or international organisations, in order to ensure that the level of protection of individuals afforded by the GDPR is not undermined.

In more detail...

When can personal data be transferred outside the European Union?

Personal data may only be transferred outside of the EU in compliance with the conditions for transfer set out in Chapter V of the GDPR.

Transfers on the basis of a Commission decision

Transfers may be made where the Commission has decided that a third country, a territory or one or more specific sectors in the third country, or an international organisation ensures an adequate level of protection.

Further reading in the GDPR

 [See Article 45 and Recitals 103-107 & 169](#) 
External link

Transfers subject to appropriate safeguards

You may transfer personal data where the organisation receiving the personal data has provided adequate safeguards. Individuals' rights must be enforceable and effective legal remedies for individuals must be available following the transfer.

Adequate safeguards may be provided for by:

- a legally binding agreement between public authorities or bodies;
- binding corporate rules (agreements governing transfers made between organisations within in a corporate group);
- standard data protection clauses in the form of template transfer clauses adopted by the Commission;
- standard data protection clauses in the form of template transfer clauses adopted by a supervisory authority and approved by the Commission;
- compliance with an approved code of conduct approved by a supervisory authority;
- certification under an approved certification mechanism as provided for in the GDPR;
- contractual clauses agreed authorised by the competent supervisory authority; or
- provisions inserted in to administrative arrangements between public authorities or bodies authorised

by the competent supervisory authority.

Further reading in the GDPR

 [See Article 46 and Recitals 108-10 & 114](#) 

External link

Next steps for the Article 29 Working Party

According to its workplan, the Article 29 Working Party will publish guidelines on data transfers based on binding corporate rules and contractual clauses in 2017.

The GDPR limits your ability to transfer personal data outside the EU where this is based only on your own assessment of the adequacy of the protection afforded to the personal data.

Authorisations of transfers made by Member States or supervisory authorities and decisions of the Commission regarding adequate safeguards made under the Directive will remain valid/remain in force until amended, replaced or repealed.

Further reading in the GDPR

 [See Article 83 and 84 and Recitals 148-152](#) 

External link

The GDPR provides derogations from the general prohibition on transfers of personal data outside the EU for certain specific situations. A transfer, or set of transfers, may be made where the transfer is:

- made with the individual's informed consent;
- necessary for the performance of a contract between the individual and the organisation or for pre-contractual steps taken at the individual's request;
- necessary for the performance of a contract made in the interests of the individual between the controller and another person;
- necessary for important reasons of public interest;
- necessary for the establishment, exercise or defence of legal claims;
- necessary to protect the vital interests of the data subject or other persons, where the data subject is physically or legally incapable of giving consent; or
- made from a register which under UK or EU law is intended to provide information to the public (and which is open to consultation by either the public in general or those able to show a legitimate interest in inspecting the register).

The first three derogations are not available for the activities of public authorities in the exercise of their public powers.

Further reading in the GDPR

 [See Article 49 and Recitals 111 & 112](#) 

External link

What about one-off (or infrequent) transfers of personal data concerning only relatively few individuals?


Even where there is no Commission decision authorising transfers to the country in question, if it is not possible to demonstrate that individual's rights are protected by adequate safeguards and none of the derogations apply, the GDPR provides that personal data may still be transferred outside the EU.

However, such transfers are permitted only where the transfer:

- is not being made by a public authority in the exercise of its public powers;
- is not repetitive (similar transfers are not made on a regular basis);
- involves data related to only a limited number of individuals;
- is necessary for the purposes of the compelling legitimate interests of the organisation (provided such interests are not overridden by the interests of the individual); and
- is made subject to suitable safeguards put in place by the organisation (in the light of an assessment of all the circumstances surrounding the transfer) to protect the personal data.

In these cases, organisations are obliged to inform the relevant supervisory authority of the transfer and provide additional information to individuals.

Further reading in the GDPR

 [See Article 49 and Recital 113](#) 

External link

National derogations

What derogations does the GDPR permit?

Article 23 enables Member States to introduce derogations to the GDPR in certain situations. These are similar to the existing exemptions from rights and duties in the DPA.

Member States can introduce exemptions from the GDPR's transparency obligations and individual rights, but only where the restriction respects the essence of the individual's fundamental rights and freedoms and is a necessary and proportionate measure in a democratic society to safeguard:

- national security;
- defence;
- public security;
- the prevention, investigation, detection or prosecution of criminal offences;
- other important public interests, in particular economic or financial interests, including budgetary and taxation matters, public health and security;
- the protection of judicial independence and proceedings;
- breaches of ethics in regulated professions;
- monitoring, inspection or regulatory functions connected to the exercise of official authority regarding security, defence, other important public interests or crime/ethics prevention;
- the protection of the individual, or the rights and freedoms of others; or
- the enforcement of civil law matters.

Other Member State derogations or exemptions

Chapter IX provides that Member States can provide exemptions, derogations, conditions or rules in relation to specific processing activities. These include processing that relates to:

- freedom of expression and freedom of information;
- public access to official documents;
- national identification numbers;
- processing of employee data;
- processing for archiving purposes and for scientific or historical research and statistical purposes;
- secrecy obligations; and
- churches and religious associations.

Further reading in the GDPR

 [See Articles 6\(2\), 6\(3\), 9\(2\)\(a\), 23 and 85-91 and Recitals 71, 50, 53, 153-165](#) 

External link

FINANCE AND POLICY COMMITTEE

18th September 2017



Report of: Assistant Director – Corporate Services

Subject: REVIEW OF POLICY AND PROCEDURES

1. TYPE OF DECISION/APPLICABLE CATEGORY

Non Key Decision

2. PURPOSE OF REPORT

- 2.1 The purpose of this report is to provide an update on the policy and procedure reviews and present the refreshed Grievance and Discipline policy and procedures for Finance and Policy Committee (F&P) comment and approval.

3. BACKGROUND

- 3.1 A review programme for HR policies and procedures is in place. The Bullying and Harassment, Grievance and Disciplinary policies were identified as priority areas for review.
- 3.2 The following documents have been reviewed collaboratively by HR and the Trade Unions and are attached to this report:
- Discipline Policy and Procedure; (Appendix 1)
 - Discipline Guidance; (Appendix 2) and
 - Grievance Policy and Procedure. (appendix 3)
- 3.3 It has been necessary to delay the reporting of the Bullying and Harassment Policy to F&P to ensure the review captures all the necessary changes. A refreshed document will be presented to F&P at the meeting in October 2017. Trade Union colleagues are currently considering the Suspension Guidance, Investigation Plan and Grievance Form and these will also be presented at the October meeting for F&P consideration and approval.
- 3.4 A review of the Code of Conduct is also underway, following recognition at Constitution Working Group that a refresh is required. Single Table have

been consulted and will a revised document will be considered by Constitution Working Group in October prior to full Council approval.

- 3.5 Formalised performance reporting of Discipline, Grievance and Bullying and Harassment is captured as part of the refreshed quarterly performance reporting and forms a part of the suite of indicators that measure corporate health.

4. FINANCIAL CONSIDERATIONS

None.

5. LEGAL CONSIDERATIONS

None.

6. CONSULTATION

Trade Unions have worked collaboratively on the refresh of the documents and appropriate consultation has and is planned to take place with Trade unions and Single Table.

7. EQUALITY AND DIVERSITY CONSIDERATIONS

The provision of a sexual harassment addendum will contribute to the protected characteristic of gender for the Bullying and harassment policy and procedure. All policies and procedures will be assessed for any negative or positive impact on protected characteristics.

8. STAFF CONSIDERATIONS

Staff will be supported to develop their skills and knowledge through the provision of opportunities to become involved in investigations and through softer training skills.

9. ASSET MANAGEMENT CONSIDERATIONS

None.

10. RECOMMENDATIONS

- 10.1 Finance and Policy Committee are recommended to:

- i) Consider the draft documents and provide comments and approval.
- ii) Note the progress that has been made to date.

11. REASONS FOR RECOMMENDATIONS

- 11.1 To approve revised policy and procedures.

12. BACKGROUND PAPERS

None.

13. CONTACT OFFICER

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Discipline Policy & Procedure

HR Division

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SCOPE & PURPOSE

This procedure applies to all employees of the Council, with the exception of workers and schools who have their own discipline policies and procedures. The intention of this procedure is to provide a fair and consistent basis for dealing with disciplinary issues.

1. INTRODUCTION

- 1.1 This policy and procedure applies to all employees of Hartlepool Borough Council (the Council). This deals with conduct which is either unsatisfactory or fails to meet the reasonable standards set. Discipline is about maintaining acceptable standards within the Council and its main aim is to bring about permanent change in the conduct of an employee through the warnings given, rather than simply to punish employees.

2. MINOR MISCONDUCT

- 2.1 Informal guidance issued by managers about minor misconduct issues does not come within the remit of this policy; please see the notes in the Discipline Guidance Document HRPP-5/G1. Any minor misconduct issues should be addressed verbally and if necessary recorded in supervision notes.

3. SUSPENSION

- 3.1 In cases where a period of suspension with pay is considered necessary:
- This period should be as brief as possible.
 - Should be kept under review.
 - It should be made clear that suspension is not considered disciplinary action. (See Suspension Guidance document HRPP-5/G2).

An employee may be suspended if:

- It is considered that an act of gross misconduct may have occurred (See Appendix A).
- The employee is the subject of investigation by the Police which may lead to charges being taken and this could affect the tenability of their employment with the Council.
- The employee appears to be incapable of undertaking their duties without presenting a serious risk to themselves or to others.
- A further act of misconduct (same or similar) may have taken place, the employee has on record a current final warning and it is considered that they should be removed from work because of the risk to the employee, colleagues or other persons, or the work of the Council.
- It would be difficult to carry out a full investigation with the employee at work, or the employee has the opportunity to prevent or hamper an investigation, e.g. where it is considered possible that the employee may influence witnesses or interfere with relevant evidence.

- There was a likelihood of further instances to occur if the employee remained at work, e.g. where a cooling off period is beneficial.
- If deemed appropriate by the relevant Head of Service and Chief Officer or delegated representative.

4. SAFEGUARDING

- 4.1 If the matter under investigation relates to a safeguarding issue (harm or risk of harm to children or vulnerable adults in the workplace regardless of whether the work is paid or voluntary), the matter may be referred to the Disclosure & Barring Service and/or relevant professional body.

5. RECORDING OF MEETINGS

- 5.1 The Council does not support the use of recording devices at meetings. An employee found by the Council to have covertly recorded a meeting may face disciplinary action.

6. DISCIPLINARY INVESTIGATION

- 6.1 It is important to carry out necessary investigations of potential disciplinary matters without unreasonable delay to establish the facts of the case. No disciplinary action will be taken against an employee until the case has been investigated as fully as is required in the circumstances. This means that in some cases there will not be any requirement to hold an investigatory meeting with the employee before proceeding to any disciplinary hearing. In others, the investigatory stage will be the collation of evidence by the employer for use at any disciplinary hearing.

The investigation will normally be carried out by an Investigating Officer(s) designated for this purpose. The purpose will be to establish the facts promptly and before memories fade, taking into account statements of any relevant witnesses.

- 6.2 The Lead Officer will be required to complete the relevant section of the Investigation Plan (HRPP-5/F1) within 2 days of notification and pass to the Investigating Officer who will be responsible for completing and maintaining the document.
- 6.3 At any investigatory interview the employee may be accompanied by a trade union representative or a work colleague.
- 6.4 The employee will be notified of the nature of the complaint against them at the earliest opportunity. It must be noted, that in certain circumstances the employee may not be notified that an investigation is underway until it is deemed appropriate. This will normally be in cases where there is a need for strict confidentiality and/or where the Police may be involved, for example, child protection issues, fraud, theft or other financial irregularities. In all cases verbal notification will be followed up in writing as soon as possible.

- 6.5 Following the investigatory process the Investigating Officer will produce a report that establishes the facts supported by evidence where available. The report should also make recommendations and confirm if a disciplinary hearing needs to be considered. The Lead Officer will make the final decision as to whether a disciplinary hearing will be held.
- 6.6 If an employee reports that they are unfit to engage in the process through health issues, they will be referred to Occupational Health.
- 6.7 It is a reasonable management instruction to attend investigatory interviews. There may be occasions when an employee is repeatedly unable or unwilling to attend a meeting. This may be for various reasons, including illness or a refusal to face up to the issue. Managers will need to consider all facts and come to a reasonable decision on how to proceed. Considerations may include:
- The seriousness of the disciplinary issue under consideration.
 - The employee's general work record, work experience, position and length of service.
 - Medical opinion on whether the employee is fit to attend the meeting.
 - How similar cases in the past have been dealt with.

Where an employee continues to be unavailable to attend a meeting management may conclude that a decision will be made on the evidence available.

- 6.8 Employees who provide information for a disciplinary investigation should be aware that if the matter does progress to a Disciplinary Hearing, the information they provide will in normal circumstances be disclosed.

7. RESPONSIBILITIES OF A DISCIPLINE HEARING OFFICER

- 7.1 Only a Head of Service or Chief Officer can undertake the role of Hearing Officer (Chair) a disciplinary hearing.
- 7.2 The Hearing Officer, with the support of a HR Advisor, is responsible for:
- Reviewing the investigation details and deciding on whether a disciplinary hearing will be held.
 - Confirming to the employee in writing their decision.
- 7.3 If a disciplinary hearing is to be scheduled then the employee should be invited to attend in writing with the right to be accompanied by a trade union representative or work colleague. The employee should be informed of the right to arrange for witnesses to attend the hearing and/or submit written statements as evidence.
- 7.4 The Hearing Officer shall refer to the Discipline Guidance (HRPP-5 / G-1) for information relating to the administration of the discipline hearing.

- 7.5 The Hearing Officer will decide if any sanctions are to be applied in accordance with the 'Stages in the Formal Procedure' listed below.
- 7.6 The Hearing Officer can either confirm their decision to the employee verbally on the day, following an adjournment, or in writing within 5 days following the hearing. In either case a written outcome letter to the employee is required advising on their right of appeal.

8. STAGES IN THE FORMAL PROCEDURE

8.1 First Written Warning

A first written warning may be given only by a Hearing Officer following a disciplinary hearing where misconduct is confirmed.

The warning will be confirmed in writing and will set out the nature of the misconduct, the improvement(s) required, the likely consequences of further misconduct and any time limits imposed.

8.2 Final Written Warning

A Final Written Warning may be given only by a Hearing Officer following a Disciplinary Hearing, where misconduct is confirmed.

Such a warning may be given if the breach of discipline or unsatisfactory conduct is so serious that a First Written Warning would not be appropriate in the circumstances or where there has been further unsatisfactory conduct or a breach of discipline following a First Formal Written Warning.

The Final Warning will be confirmed in writing and will set out the nature of misconduct, the improvement(s) required; any time limits imposed and will make it clear that further misconduct could lead to a recommendation that the employee be dismissed.

8.3 Dismissal

Only a Chief Officer may hear cases that may result in a dismissal. Dismissal is normally invoked:

- Where there has been gross misconduct (see Appendix A for examples).
- Where the employee has on record a current final warning for a same or similar type of disciplinary incident.

Gross misconduct will normally result in summary dismissal, that is, dismissal without notice or pay in lieu of notice.

Where an employee has a First Written Warning, dismissal may be considered instead of a Final Written Warning if the breach of discipline or unsatisfactory conduct is so serious that a final warning would not be appropriate in the circumstances.

9. APPEALS

- 9.1 There shall be a right of appeal against all warnings and dismissals given.
- 9.2 Appeals must be notified, in writing outlining the grounds of appeal, to the Assistant Director, Corporate Services, within 14 days of notification of the warning/dismissal. If no appeal is received within this period the employee/appellant will lose the right of appeal. If an appeal has not been received within the 14 days then it will be for the employee/appellant to demonstrate that they were not notified of the decision in time.
- 9.3 All appeals must be lodged by the employee concerned and cannot be lodged by other parties or representatives on behalf of the employee.
- 9.4 The appeal will be arranged as soon as practicable and the employee will receive a minimum of fourteen days notice of the date of the appeal hearing. This period may be reduced by mutual agreement.
- 9.5 Appeals against Written Warnings will be heard in accordance with Appendix C. Appeals against dismissal will be heard in accordance with Appendix D.

10. TRADE UNION REPRESENTATIVES

- 10.1 Normal disciplinary standards apply to Trade Union Representatives.
- 10.2 In normal circumstances no action relating to suspension or discipline should be taken against a representative of a recognised Trade Union without consulting a senior member of staff in Human Resources nor until the case has been discussed with a Senior Trade Union Representative or Full-Time Official.
- 10.3 If a manager identifies a conflict between the contractual HBC job role of a local trade union representative and their trade union activity then they should contact the relevant senior trade union official to notify them of the issue and seek a resolution. It is good practice to advise the employee that this discussion has / will take place. Where the employee concerned is a trade union senior officer then the matter will be referred to the regional trade union officer. This does not prevent the manager dealing with the work situation accordingly.

11. ATTENDANCE AT AND REPRESENTATION DURING INVESTIGATIONS AND / OR DISCIPLINARY PROCEEDINGS / APPEALS

- 11.1 Employees may arrange to be represented by their trade union representative or a colleague from work at all stages of the formal procedure relating to suspension (where possible), disciplinary investigation, hearings and appeal.
- 11.2 Where unreasonable delay might be caused by awaiting the availability of the chosen representative management reserves the right to proceed with the hearing/appeal on the date set and to advise the employee to seek an

alternative representative. It would be reasonable to rearrange the date at least once if there are issues in relation to availability, therefore the opportunity should be given for the representative to provide an alternative date within 5 days.

- 11.3 Where the employee refuses to attend, or fails to attend without giving an acceptable reason, an investigatory meeting / interview, a Disciplinary Hearing, the Officers concerned may proceed with the investigation / hearing and make a decision based on such evidence and information as is available to them at the time. Where the employee refuses to attend, or fails to attend without giving an acceptable reason at the Appeal Stage, the employee may lose the right of appeal.

12. DISCIPLINARY RECORDS / TIME LIMITS

- 12.1 The following maximum time periods will normally apply to warnings given and the Disciplinary Officer should select an appropriate time period taking into account the type of offence:
- First written warning – normally 1 year, but up to 2 years in exceptional circumstances.
 - Final written warning – normally 2 years maximum.
- 12.2 If the matter relates to a safeguarding issue (harm or risk of harm to children or vulnerable adults in the workplace regardless of whether the work is paid or voluntary), then it may either require a referral (if not already notified) or an update to the Disclosure & Barring Service and/or relevant professional body.
- 12.3 Records will not be taken into account for disciplinary purposes after the above time periods have been exhausted providing that no further same or similar type of disciplinary incident has occurred during the time period. Where a disciplinary investigation begins prior to the expiry of a previous warning, it will be taken that the warning was valid for the purpose of the current disciplinary proceedings, provided it is the same or a similar matter.
- 12.4 Where an employee who has received a warning is subsequently absent from work by reason of sickness during the currency of the warning for, in aggregate, more than ten days, the amount of absence above ten days shall be added to the original time period specified in the warning. This will ensure that the employee has the full specified period to demonstrate satisfactory conduct.
- 12.5 Records for disciplinary matters will be held for a minimum of 2 years except safeguarding (children & vulnerable adults) issues which will remain on file for the period of employment of the individual(s) involved.

13. PROBATIONARY PERIOD

- 13.1 During the probationary period of an employee the Council's Probation Procedure applies, not the Disciplinary Procedure.

14. OFFENCES AGAINST THE LAW

- 14.1 Where it is believed that an employee may have committed an offence against the law within employment this will be considered in its employment context within the Disciplinary Policy. The Chief Executive or Assistant Director Corporate Services will be advised of such instances and will consider reporting the matter to the Police with the advice of Human Resources.
- 14.2 The fact that an employee has been cautioned, charged, remanded in custody or has been convicted of an offence outside employment shall not be regarded as an automatic reason for disciplinary action or dismissal. In such cases Human Resources should be consulted and consideration must be given as to whether the offence is one which has any connection with, or bearing upon, the employee's work and/or the tenability of their continued employment with the Council. Where appropriate a disciplinary investigation should be carried out to consider the matter.
- 14.3 In such cases, where a Disciplinary Hearing is held, disciplinary action need not await the outcome of criminal court proceedings.

15. EQUALITY IMPACT ASSESSMENT

- 15.1 This policy does not disadvantage any employee who may have a protected characteristic under the Equality Act 2010.

16. MISCELLANEOUS ISSUES

- 16.1 In the event of a trade union representative having an issue relating to a disciplinary investigation, then in the first instance the concern should be raised with the relevant departmental HR Business Partner. If the trade union representative is not satisfied with the decision of the HR Business Partner then the HR Business Partner will escalate the matter for a final decision to the Assistant Director Corporate Services (or in their absence the Director or Finance and Policy). The disciplinary process will not be suspended during this time.
- 16.2 In cases of fraudulent activity which may result in a potential insurance claim then the Manager/School is advised to notify their insurer at the earliest opportunity. Delay in this notification may invalidate any future insurance claim.
- 16.3 The role of Human Resources representatives in disciplinary matters and appeals is to assist in ensuring that correct procedural steps are taken, complying with statutory requirements, and to provide advice based on Council-wide implementation of the policy in order to promote and ensure

consistency and fairness. This may involve asking questions to support the fact finding process, hearing or appeal, and/or to clarify issues raised.

APPENDICES TO THE DISCIPLINARY PROCEDURES

- Appendix A - Examples of Gross Misconduct
- Appendix B - Administration of Disciplinary Hearings
- Appendix C - Appeals against Warnings
- Appendix D - Appeals against Dismissal

DOCUMENTATION

- HRPP-5/G1 Discipline Policy Guidance
- HRPP-5/G2 Suspension Guidance
- HRPP-5/F1 Investigation Plan

Appendix AGross Misconduct

Gross misconduct is conduct of such a serious nature by an employee that the Council could not tolerate the continuation of that employee at work and could not tolerate a repetition of such conduct. Gross misconduct will normally result in summary dismissal, that is, dismissal without notice or pay in lieu of notice. The list below contains examples of the type of conduct which will normally be considered to be gross misconduct and will therefore normally result in summary dismissal:

- a) Acts of violence or intimidation whilst on duty against colleagues, service users, the Council or members of the public.
- b) Fraud or serious theft, e.g. deliberate falsification of documents such as invoices, false accounting, time sheets, expense claim forms, annual leave records etc.
- c) Malicious damage to the property of colleagues, service users, the Council or members of the public.
- d) Serious personal harassment or bullying.
- e) Conviction of a criminal offence relating to duties at work or of an offence outside employment which renders the employee unacceptable for duties.
- f) Failure to carry out duties resulting in individual(s) being at risk of serious harm.
- g) Whilst on duty, being drunk or otherwise incapacitated by the abuse of alcohol or drugs.
- h) Abandoning duties and place of work without permission or acceptable reason.
- i) Deliberate falsification of information on application for appointment (such as qualifications, previous posts etc) whether or not these are a statutory requirement or result in additional remuneration.
- j) Wilful negligence or refusal to carry out a reasonable instruction or serious and deliberate breaches of health and safety rules and other regulations/rules of the Council, e.g. data protection requirement.
- k) Deliberate access to or download of pornographic, offensive or obscene material.
- l) Serious insubordination.
- m) Serious misuse of the Council's property or name.
- n) Action or conduct which may bring the organisation into disrepute including any criminal charges or investigations.
- o) Acceptance of bribes, unauthorised gifts or gratuities or other corrupt practices.
- p) Serious breach of confidence such as disclosure of confidential or personal information to public sources/persons not authorised to receive such information or other unauthorised use of corporate or personal information.
- q) Holding unauthorised paid employment during the time you are being paid by the Council e.g. paid employment elsewhere while on sick leave.
- r) Unauthorised accessing and/or usage of data.

This list is neither exclusive nor exhaustive.

Appendix BGuidance on the Administration of Disciplinary Hearings

1. When a disciplinary hearing is to be held, the employee should be informed in writing and given reasonable notice of the date, time and place for the hearing (5 working days would normally be the minimum notice given).
2. Where further written statements are to be submitted in evidence, the statement(s) should be copied to the Designated Officer/employee as appropriate at least 2 days before the hearing. This will save time at the hearing and also allow both parties reasonable time to consider the content of the statement(s).
3. In normal circumstances witnesses may not be called to give oral evidence to a disciplinary hearing unless requested. If an employee is to rely on a witness being present at the hearing then they should request their attendance in writing to the Hearing Officer.
4. Where witnesses are to be called by either party the number of witnesses involved should be confirmed to the other party at least 2 days before the hearing so that administrative arrangements can be made to accommodate the witnesses and to alert each party to the involvement of witnesses.
5. If an individual wishes to bring witnesses to a disciplinary hearing who were not part of the investigatory process, it should be noted that it is their responsibility to inform the witness of the time and date of the hearing and for them to agree/arrange the witnesses attendance.

Appendix CAppeals against Written Warnings

1. Administration

Appeals against warnings or dismissal must be notified to the Assistant Chief Executive in writing, (by letter or email) within 14 days of the date of the letter confirming the disciplinary action. If no appeal is received within this period the employee will lose the right of appeal. It will be for the employee to demonstrate that they were not notified of the decision in time. All appeals must be lodged by the employee concerned; appeals cannot be lodged by other parties or representatives on behalf of the employee. An appeal hearing will then be arranged and the employee will receive at least 14 days notice of the hearing of an appeal and may be represented at this by a trade union representative or colleague. The notice period of 14 days may be reduced by mutual agreement. A fundamental aim of the appeals procedure is for the Council not only to be fair but also to be seen to be fair in dealing with its staff. Where the procedure is silent on any point which may arise during the course of the hearing it is for the Hearing Officer / Committee to decide, in the light of any representations made by management and the employee and/or representative, what course of action should be followed.

2. Appeals against Warnings

First Written Warning. Appeal heard by one Band 15 Manager or Chief Officer not involved in the original hearing and a representative of Human Resources

Final Written Warning. One relevant Chief Officer not involved in the original hearing plus a representative of Human Resources.

The procedure for the appeal hearing will be as follows:-

- (a) The management representative and/or Human Resources representative shall state the case.
- (b) Whilst stating the case, if appropriate, the management representative and/or Human Resources representative may call witnesses. The procedure for each witness shall be:-
 - Management representative and/or Human Resources representative to question.
 - Employee and/or representative to question.
 - Panel to ask any questions.
 - Management representative and/or Human Resources representative to re-examine.
 - Witness to leave the room.
- (c) The employee and/or representative may ask questions of the management representative and/or Human Resources Representative.

- (d) The Panel may ask questions of the management representative and/or Human Resources representative.
- (e) The employee and/or representative to state the case.
- (f) Whilst stating the case the employee and/or representative may call witnesses and the procedure for each witness shall be:-
 - Employee and/or representative to question.
 - Management and/or Human Resources representative to question.
 - Panel to ask any questions.
 - Employee and/or representative to re-examine.
 - Witness to leave the room.
- (g) The management representative and/or Human Resources representative may ask questions of the employee and/or representative.
- (h) The Panel members may ask questions of the employee and/or representative.
- (i) The management representative and/or Human Resources representative to have the opportunity to sum up his/her case if he/she wishes.
- (j) The employee and/or representative to have the opportunity to sum up his/her case if he/she wishes.
- (k) The management representative and Human Resources representative and employee and representative to withdraw.
- (l) The Panel to deliberate recalling management representative and Human Resources Representative and employee/representative only if clarification of evidence already given is required. In such instances both parties should be recalled even though clarification may be required from only one side.
- (m) The Panel shall announce its decision to both sides unless further time for deliberation is needed, in which case both sides will be advised of this.
- (n) The decision of the Panel will be notified to both sides in writing within 7 days of the appeal hearing.

Notes: The provision for summing up at (i) and (j) does not include the right to introduce new evidence at this stage in the procedure. If this becomes necessary, then the other side should be given the right of reply.

Where points of clarification which affect the understanding of the case being put need to be raised, the Panel may ask questions at any point during the proceedings but otherwise will raise questions at the appropriate stages.

Any matters of procedure not covered above will be for the Panel to decide.

Where the Chief Executive is the Designated Officer any appeal will be heard by the Personnel Sub-Committee of the Council.

Appendix DAppeals Against Dismissal**Constitution of Appeals Committee**

Appeals against dismissal are heard by a duly convened and quorate Personnel Sub Committee of the Council. The Constitution defines the makeup of the Committee and how many Members constitute a quorum.

Members who have had any direct prior involvement in the case will be excluded from sitting. The Human Resources Adviser to the Committee will attend appeals against dismissal to provide advice (including procedural and employment law advice) to the Committee and to assist Members generally in establishing the arguments and facts being presented to them.

Normal Council Democratic Services support will be provided to the Committee. The Democratic Services Officer shall record the decision of the Committee but is not present to provide any form of advice other than on administrative matters.

Written Statements

Both management and the employee will be invited to submit written statements of case which will be forwarded to Elected Members 7 days before the hearing. Where both parties have provided statements these will also be exchanged 7 days before the hearing. If one party does not produce a statement, they will receive the other party's statement as early as practicable on the day of the hearing.

Representation and Attendance

The normal procedure will be for the employee plus one representative, and the dismissing manager, the relevant service manager, plus one Human Resources representative, to attend the hearing and present their cases. Witnesses will be called in, in turn, to give evidence and will then leave the hearing. It is at the discretion of the Committee to permit either party to bring additional representatives/managers and to decide whether they may attend in an observer or participant capacity.

Decisions

On the basis of the evidence presented, the Committee may make any lawful decision it so decides.

Decisions generally will fall into two categories, namely:

- (a) Not allowing the appeal (appeal not upheld) in which case the employees' dismissal is confirmed.
- (b) Allowing the appeal (appeal upheld) in which case the employee is reinstated. If the Committee are of the view that some disciplinary action is necessary, they may consider one or more courses of action such as:
 - i. First Written Warning in accordance with the Council's disciplinary procedure.
 - ii. Final Written Warning in accordance with the Council's disciplinary procedure.
 - iii. Redeployment/demotion to another post.

Although the above list is not exhaustive.

The Committee shall give its decision in full detail in the presence of both parties and the Human Resources Adviser to the Committee, and clarification may be sought by any party.

Re-engagement

In exceptional circumstances, where the appeal has not been allowed, the Committee may nonetheless decide to offer re-engagement, on whatever terms it chooses. If so the Committee will announce, when it gives its decision on the appeal that it intends to exercise its discretion in this way. The terms of the re-engagement will be set out in a separate letter sent with confirmation of the Committee's decision. The offer must be accepted in writing before the employee can start work.

Procedure

The procedure will be as follows:-

Management Case

1. The management representative and/or Human Resources representative shall state the case.
2. The management representative and/or Human Resources representative may call witnesses and the procedure for questioning each witness shall be:
 - Management and/or Human Resources representative to question
 - Employee and/or representative to question
 - Each Member of the Committee and the Human Resources Adviser to the Committee to be invited to ask any questions
 - Management and/or Human Resources representative to re-examine
 - Witness to retire
3. The employee or representative may ask questions of the management representative and/or Human Resources representative.

4. The Committee Members and the Human Resources Adviser to the Committee may ask questions of the management representatives and/or Human Resources representative.

Employee Case / Response

5. The employee or representative shall state the case.
6. The employee or representative may call witnesses and the procedure for questioning each witness shall be:
 - Employee and/or representative to question.
 - Management representative and/or Human Resources representative to question.
 - Each Member of the Committee and the Human Resources Adviser to the Committee to be invited to ask any questions.
 - Employee and/or representative to re-examine.
 - Witness to retire.
7. The management representative and/or Human Resources representative may ask questions of the employee.
8. The Committee Members and the Human Resources Adviser to the Committee may ask questions of the employee and/or representative.

Summing Up

9. The management representative and/or Human Resources representative to have the opportunity to sum up the case, if they choose to.
10. The employee and/or representative to have the opportunity to sum up the case, if they choose to.
11. The management representative and Human Resources representative, the employee and representative to withdraw.
12. The Committee to deliberate in private with only the Human Resources Adviser to the Committee and Democratic Services Officer in attendance, recalling the management representative, Human Resources representative, the employee and representative only if clarification of evidence already given is required. In such instances all parties should be recalled even though clarification may be required from only one party.

Decision

13. The Committee shall announce its decision to both parties unless further time for deliberation is needed; in which case both parties will be advised of this.
14. The decision of the Committee and the terms of this will be notified to both parties in writing within 7 calendar days of the hearing.

General Notes

1. The provision for summing up at (9) and (10) does not include the right to introduce new evidence at this stage in the procedure. If this becomes necessary, then the other party should be given the right of reply.
2. Any matters not covered by the above procedure will be for the Committee to determine.
3. The employee representative must be a Trade Union representative or colleague from work.
4. When advising the Committee, the Human Resources Adviser to the Committee shall not have had any involvement in the original decision to dismiss.
5. Where a decision has been taken not to allow the appeal and this has been communicated to the member of staff as in (13) above and the Committee wish to make an offer of re-engagement, such an offer would be made after stage (13) of the procedure as a distinctly separate matter from the appeal.



Discipline Guidance for Managers

**This document should be read in
conjunction with the Discipline
Policy & Procedure**

HR Division

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1. Minor Misconduct

- 1.1 Cases of minor misconduct or unsatisfactory performance are usually best dealt with informally. A quiet word is often all that is required to improve an employee's conduct or performance. In some cases additional training, coaching and advice may be what is needed. There will be situations where matters are more serious or where an informal approach has been tried but is not working.
- 1.2 How should it be done? Talk to the employee in private, this should be a two-way discussion, aimed at discussing possible shortcomings in conduct or performance and encouraging improvement. Feedback should be constructive, with the emphasis being on finding ways for the employee to improve and for the improvement to be sustained. Listen to whatever the employee has to say about the issue. It may become evident there is no problem – if so make this clear to the employee. Where improvement is required make sure the employee understands what needs to be done, how their performance or conduct will be reviewed, and over what period. It may be useful to confirm in writing what has been decided.
- 1.3 Keep brief notes of any agreed informal action for reference purposes. There should be reviews of progress over specified periods; these could be placed on the employee's supervision record.
- 1.4 If informal action does not bring about an improvement, or the misconduct or unsatisfactory performance is considered too serious to be classed as minor, then formal action may be taken.

2. Investigation

- 2.1 It should be noted that it may be necessary for a manager to meet with an employee in relation to an issue or incident to establish the facts of the case to determine if a disciplinary investigation is required. This is not considered part of the formal disciplinary investigation process.
- 2.2 It is important to carry out necessary investigations of potential disciplinary matters without unreasonable delay to establish the facts of the case. In some cases this will require the holding of an investigatory meeting with the employee before proceeding to any disciplinary hearing. In others, the investigatory stage will be the collation of evidence for use at any disciplinary hearing.
- 2.3 When investigating a disciplinary matter take care to deal with the employee in a fair and reasonable manner. The nature and extent of the investigations will depend on the seriousness of the matter and the more serious it is then the more thorough the investigation should be. It is important to keep an open mind and look for evidence which supports the employee's case as well as evidence against. It is not always necessary to hold an investigatory meeting (often called a fact finding meeting). If a meeting is held, give the employee advance warning and time to prepare. Any investigatory meeting conducted

by an Investigating Officer should be confined to establishing the facts of the case.

- 2.4 It is important that disciplinary penalties are not considered at an investigatory meeting. If it becomes apparent that formal disciplinary action may be needed then this should be dealt with at a formal meeting at which the employee will have the statutory right to be accompanied. Check if there are any special circumstances to be taken into account, e.g. are there personal or other outside issues affecting performance or conduct?

3. Preparing for a Disciplinary Hearing

- 3.1 An invitation to a Disciplinary Hearing should contain sufficient details for the employee to understand the allegation or matter of concern, confirmation of the right of the employee to be represented at the hearing by their trade union official or a colleague from work and the right of the employee to produce witnesses and/or submit written statements as evidence. Any written statements made at this point should be provided with the letter.
- 3.2 The letter should also refer the employee to paragraph 8.3 in the Disciplinary Procedure, concerning refusal or failure to attend the hearing without giving an acceptable reason.
- 3.3 Where the hearing may involve consideration of dismissal, this should be explained in the letter to the employee.

4. Guidance on the Administration of Disciplinary Hearings

- 4.1 In preparation of a Disciplinary Hearing, consider the following;
- Ensure that all the relevant facts are available, such as disciplinary records, any other relevant documents; and ensure a copy of all relevant information is provided to the individual(s) who is subject to the disciplinary process.
 - Allow the employee time to prepare their case.
 - Arrange a time for the meeting, which should be held as privately as possible, in a suitable room, and where there will be no interruptions.
 - Try and get a written statement from any witness from outside the organisation who is not prepared to or is unable to attend the meeting.
 - Allow the employee to call witnesses or submit witness statements.
 - Make provision for any reasonable adjustments to accommodate the needs of a person with disabilities or communication issues, e.g. language.
 - Think about the structure of the meeting and make a list of issues or questions to be raised.

5. How should the Disciplinary Hearing be Conducted

- 5.1 Remember that the point of the meeting is to establish the facts, not catch people out and that the meeting may not proceed in neat, orderly stages, but it is good practice for the Hearing Officer to;
- Introduce those present to the employee, explain the role of the accompanying person if present and explain the matter(s) to be considered.
 - State that witnesses may be called if appropriate.
 - That the employee / companion will have the opportunity to ask questions.
 - The employee will be able to respond, may call witnesses, the Hearing Officer to have the opportunity to ask questions of the employee and/or witnesses.
 - Explain that the purpose of the meeting is to consider whether disciplinary action should be taken in accordance with the Disciplinary Procedure.
 - Explain how the meeting will be conducted.
 - Confirm the meeting should not be recorded.

6. Statement of the Complaint

- 6.1 State precisely what the complaint is and outline the case briefly by going through the evidence that has been gathered. Ensure that the employee and his or her representative or accompanying person are allowed to see any statements made by witnesses and question them.

7. Witnesses

- 7.1 When witnesses are called they should be called into the hearing in turn to give their evidence and should withdraw after providing information and being questioned if necessary.
- 7.2 If any witnesses are called back into the hearing for the purpose of clarifying facts, the employee shall be also present.

8. Employee's Response

- 8.1 Give the employee the opportunity to state their case and answer any allegations that have been made. They should be able to ask questions, present evidence and call witnesses. The accompanying person may also ask questions and should be able to confer privately with the employee. Listen carefully and be prepared to wait in silence for an answer as this can be a constructive way of encouraging the employee to be more forthcoming.
- 8.2 Establish whether the employee is prepared to accept that they may have done something wrong or are not performing to the required standard. Then agree the steps which should be taken to remedy the situation.

- 8.3 If it is not practical for witnesses to attend, consider proceeding if it is clear that their verbal evidence will not affect the substance of the complaint. Alternatively, consider an adjournment to allow questions to be put to a witness who cannot attend in person but who has submitted a witness statement.

9. Using the Conversation to Establish all the Facts

- 9.1 Ask the employee if they have any explanation for the alleged misconduct or unsatisfactory performance, or if there are any special circumstances to be taken into account, if it becomes clear during this stage that the employee has provided an adequate explanation or there is no real evidence to support the allegation, bring the proceedings to a close.
- 9.2 Keep the approach formal and polite and encourage the employee to speak freely with a view to establishing the facts. A properly conducted Disciplinary Hearing should be a two-way process. Use questions to clarify the issues and to check that what has been said is understood. Ask open-ended questions, for example, 'what happened then?' to get the broad picture. Ask precise, closed questions requiring a yes/no answer only when specific information is needed.
- 9.3 Do not get involved in arguments and do not make personal or humiliating remarks. Avoid physical contact or gestures which could be misinterpreted or misconstrued as judgemental. If new facts emerge, it may be necessary to adjourn the meeting to investigate them and reconvene the meeting when this has been done.

10. Summing Up

- 10.1 Summarise the main points of the discussion after questioning is completed. This allows all parties to be reminded of the nature of the issue, the arguments and evidence put forward and to ensure nothing is missed. Ask the employee if they have anything further to say. Following this the employee and their representative should withdraw.

11. Adjournment before Decision

- 11.1 Adjourn before a decision is taken about whether a disciplinary penalty is appropriate. The Hearing Officer will then consider their decision in the presence of Human Resources. This allows time for reflection and proper consideration. It also allows for any further checking of any matters raised, particularly if there is any dispute over facts. The decision will be notified to the employee as soon as practicable and then confirmed in writing within ten working days.

12. What Problems May Arise and How Should They be Handled

- 12.1 When an employee raises a grievance during the meeting it may sometimes be appropriate to consider stopping the meeting and suspending the Disciplinary Procedure – for example when:
- The grievance relates to a conflict of interest that the manager holding the disciplinary meeting is alleged to have.
 - Bias is alleged in the conduct of the disciplinary meeting.
 - Management have been selective in the evidence they have supplied to the manager holding the meeting.
 - There is possible discrimination.
- 12.2 It would not be appropriate to suspend the meeting where the employee makes an invalid point, e.g. if they mistakenly claim that they have the right to be legally represented or that a collectively agreed and applicable procedure does not apply to them because they are not a union member.
- 12.3 It is possible that the hearing may not proceed smoothly – people may be upset or angry. If the employee becomes upset or distressed allow time for them to regain composure before continuing. If the distress is too great to continue then adjourn and reconvene at a later date – however, the issues should not be avoided. Clearly during the meeting there may be some ‘letting off steam’, and this can be helpful in finding out what has actually happened, however, abusive language or conduct should not be tolerated.

13. The Companion

- 13.1 The companion may be:
- A Council employee.
 - An official employed by a Trade Union, or a Trade Union representative.
- 13.2 Work colleagues or Trade Union Officials do not have to accept a request to accompany a worker, and they should not be pressurised to do so.
- 13.3 An employee who has agreed to accompany a colleague is entitled to take a reasonable amount of paid time off to fulfil that responsibility. This should cover the hearing and time for the companion to familiarise themselves with the case and confer with the employee before and after the hearing.
- 13.4 Before the hearing takes place, the employee should tell the Hearing Officer who they have chosen as a companion. In certain circumstances it can be helpful for the companion and employer to make contact before the hearing.
- 13.5 The companion should be allowed to address the hearing in order to:
- Put the employee’s case.
 - Sum up the employee’s case.
 - Respond on the employee’s behalf to any view expressed at the hearing.

- 13.6 The companion can also confer with the employee during the hearing. It is good practice to allow the companion to participate as fully as possible in the hearing, including asking witnesses questions. The companion should not answer questions on the employee's behalf, or address the hearing if the employee does not wish it, or prevent the employee from explaining their case.
- 13.7 Reasonable adjustment may be needed for a worker with a disability (and possibly for their companion if they are disabled), e.g. the provision of a support worker or advocate with knowledge of the disability and its effects.

14. What Should be Considered Before Deciding any Disciplinary Sanction

- 14.1 When deciding whether a disciplinary sanction is appropriate and what form it should take, consideration should be given to:
- What HBC Guidance indicates the likely penalty will be as a result of the particular misconduct.
 - The penalty imposed in similar cases in the past.
 - Whether standards of other employees are acceptable, and that this employee is not being unfairly singled out.
 - The employee's disciplinary record (including current warnings), general work record, work experience, position and length of service.
 - Any special circumstances which might make it appropriate to adjust the severity of the penalty.
 - Whether the proposed sanction is reasonable in view of all the circumstances.
 - Whether any training, additional support or adjustments to the work are necessary.
- 14.2 It should be clear what the normal practice is for dealing with the kind of misconduct or unsatisfactory performance under consideration. This does not mean that similar offences will always call for the same disciplinary action: each case must be looked at on its own merits and any relevant circumstances taken into account. Such relevant circumstances may include health or domestic problems, provocation, justifiable ignorance of the rule or standard involved or inconsistent treatment in the past.

15. Role of Human Resources Representative(s) in Disciplinary Matters and Appeals

- 15.1 Human Resources staff can provide advice on the application of the procedure at any stage.
- 15.2 At all stages under Suspension, Hearings and Appeals the involvement of a Human Resources Representative is required.
- 15.3 The role of Human Resources representatives in disciplinary matters and appeals is to assist in ensuring that correct procedural steps are taken, complying with statutory requirements, and to provide advice based on

Council-wide implementation of the policy in order to promote and ensure consistency and fairness. This may involve asking questions to support the fact finding process, hearing or appeal, and/or to clarify issues raised.

- 15.4 At Appeal Hearings, the Human Resources Representative may either assist the manager in their presentation or may undertake the presentation.

16. Disciplinary Action Confirmatory Letters

- 16.1 Letters confirming any disciplinary action taken will be sent by the Hearing Officer within ten working days of the hearing and will contain the following information:

- Details of the offence or behaviour.
- Confirmation that repetition of this, or related offences/behaviour are liable to lead to further disciplinary action.
- Details of the right of appeal and how that may be exercised.
- If appropriate, any period of time set for a review.
- Details of any action required of the employee.
- Details of any assistance or training to be provided by management.
- Confirmation of the period of time for which the warning will remain current.

- 16.2 Letters of dismissal will also be sent by the Hearing Officer within ten working days of the hearing and contain:

- The effective date of termination and whether notice or payment in lieu of notice is being given.
- The reason for dismissal stated as precisely and clearly as possible.
- Details of the right of appeal and how this can be exercised.

17. Types of Evidence that may be used in Disciplinary Investigations

- 17.1 Examples of evidence that may be used in the investigation of discipline issues within HBC:

- Workplace internet records.
- Workplace email.
- Workplace telephone.
- CCTV.
- Council vehicle GPS data.
- Public information from the internet such as social networking sites.
- Interviews with person(s) subject to investigation and other staff members.
- Statements from third parties.
- Supervision records.
- Action plans.

- 17.2 Information from anonymous sources will not be used as evidence, but the information may be used to establish the facts of an issue, which may lead to an investigation.
- 17.3 Hartlepool Borough Council (HBC) is registered under the Data Protection Act 1998 for the collection of data in a wide variety of forms and is therefore entitled to store and use data in accordance with this legislation.
- 17.3 CCTV images are recorded and retained in accordance with the Information Commissioners Office (ICO) CCTV Code of Practice, Revised Edition 2008. Appendix 3 'Monitoring Your Workforce' as amended by the Protection of Freedoms Act 2012. The purposes of CCTV in the workplace is crime prevention and public safety and not about monitoring staff. CCTV images will only be used in serious disciplinary issues.

18. Surveillance

- 18.1 In some circumstances it is appropriate and necessary to undertake covert surveillance. Covert monitoring is where video or audio recording equipment is used, and those being monitored are unaware that this is taking place. All covert surveillance of employees must be authorised by a senior member of Human Resources in conjunction with the Director of the relevant department.
- 18.2 When determining whether covert surveillance is necessary, the following will be taken into account:
- Would it prejudice the investigation to tell workers that surveillance equipment is being used?
 - The reasons for the surveillance – is this an exceptional circumstance, e.g. criminal activity or serious malpractice?
 - The availability of other sources of information to provide evidence in relation to the investigation.
 - The nature of the surveillance, will the camera(s) be removed on completion of the investigation?
 - The extent of the intrusion into the privacy of others and how this will be minimised.
 - The possible outcomes of the surveillance.
 - Cameras and listening devices should not be installed in private areas such as toilets and private offices, except in the most exceptional circumstances where serious crime is suspected. This should only happen where there is an intention to involve the police, not where it is a purely internal disciplinary matter.
 - If covert surveillance is installed for one investigation and turns up evidence of other criminal behaviour or disciplinary offences, this evidence will only be used where the offence is serious, for example, gross misconduct or misconduct putting others at risk. It would be unfair to use evidence obtained covertly for minor disciplinary matters.
- 18.3 Where appropriate, the Councils policy and procedure in relation to the Regulation of Investigatory Powers Act 2000 will be complied with.



Grievance Policy & Procedure

HR Division

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1. Introduction

- 1.1 Hartlepool Borough Council is committed to the welfare of all employees (including workers). It is, however, recognised that on occasion grievances may arise.
- 1.2 This procedure provides a mechanism for employee concerns, problems or complaints relating to their work, working environment or working relationships to be raised and addressed fairly, quickly and as close to the source of the problem as possible. Examples may include:
- Terms and conditions of employment
 - Health and safety
 - Work relations
 - New working practices
 - Organisational change
 - Discrimination
 - Bullying and Harassment (complaints are via a separate procedure)

2. Scope of the Procedure

- 2.1 This policy and procedure applies to all employees of the Council with the exception of those employed in schools with delegated budgets who have alternative procedures adopted by their Governing Bodies.
- 2.2 Some complaints about employment fall outside the scope of the Grievance Procedure as they require different treatment. Examples may include:
- Disciplinary
 - Job Evaluation
 - Reorganisation
 - Whistleblowing
- 2.3 An employee may have a number of grievances some of which may be unrelated to each other. In such cases it may be necessary to apply the grievance procedure to each issue separately or, if appropriate, apply a different procedure.
- 2.4 This grievance procedure does not apply to ex-employees.

3. Representation

- 3.1 Employees have the right to be accompanied by their Trade Union Representative or a work colleague, at all formal stages of this process.
- 3.2 Where unreasonable delay may be caused by awaiting the availability of the chosen representative; management reserve the right to proceed with the date set and to advise the employee to seek an alternative representative.

- 3.3 Where the employee raising the grievance does not engage in the process without acceptable reason; then a decision will be made by the relevant Chief Officer, with Human Resources (HR) advice, on whether to draw conclusion on the facts available or alternatively to discontinue the grievance. This will be confirmed in writing to the employee.

4. Collective Grievance

- 4.1 In some circumstances a grievance may apply to more than one employee (collective grievance). In such cases the group will be required to select one member to represent the group to state their case, supported by a Trade Union Representative if required. In some circumstances, it may be necessary to miss out the informal stage and address the matter formally.

5. Raising a Grievance

- 5.1 A quiet word is often all that is required and many problems can be raised and settled at an early stage during the course of everyday working relationships. This approach is normally less time consuming and less likely to damage working relationships.

6. Stages of the Grievance Procedure

In exceptional circumstances it may be appropriate to formally investigate a grievance. This means an Investigation Officer is appointed and the Investigation Plan completed (HRPP-5 / F1). This can be decided by the Lead Officer at any stage in the process with the advice of a Senior Human Resources Advisor.

6.1 Informal – Stage 1

- 6.1.1 Employees should aim to settle problems informally with their Colleagues and/or Line Manager where possible without recourse to the formal grievance procedure.
- 6.1.2 It is important that an employee raises their grievance verbally (although may opt to do this in writing) with their Line Manager. Where possible a grievance should be raised as soon as reasonably practicable after an incident / cause for grievance has occurred.
- 6.1.3 If the concerns relate to a Line Manager, an employee should still raise their grievance directly with the Line Manager if they feel able to do so. Where this is not possible, employees should discuss their concerns with the next most senior person.
- 6.1.4 If an employee is unsure as to who they should contact about a grievance they may, in confidence, ask HR who will let them know who the appropriate person is.

6.1.5 The Line Manager should:

- Within 5 working days of receipt of the grievance (working days for the purposes of this procedure are Monday to Friday in any working week excluding bank holidays), respond to the employee clearly outlining the issues and subsequent actions agreed.
- Where the grievance is not upheld then make sure the reasons are explained.

6.1.6 Where the employee feels that their grievance has not been satisfactorily resolved at this informal stage then they should raise the matter formally at Stage 2 without unreasonable delay.

6.2 Formal - Stage 2

6.2.1 If the matter is not resolved at the informal stage and the employee is still aggrieved the employee should submit a grievance, in writing, on the grievance form, setting out the nature of the grievance to the appropriate Chief Officer within 5 working days of receipt of the written outcome of the informal stage.

6.2.2 The Chief Officer will respond in writing as soon as possible and within 5 working days to either acknowledge or arrange a meeting as soon as possible with the employee and his/her Trade Union Representative or Colleague from work, the immediate Line Manager (if appropriate), a HR Representative and any other relevant people.

6.2.3 The Chief Officer's decision may be to accept the grievance, dismiss the grievance, refer the matter back to the immediate Line Manager for resolution with appropriate comments/guidance, or any other course of action which would be reasonable in the circumstances of the individual case.

6.2.4 A decision following a meeting will be confirmed in writing within 5 working days.

6.3 Formal Appeal - Stage 3

6.3.1 If the matter is not resolved at the formal stage and the employee is still aggrieved the employee should submit an appeal, in writing, setting out the grounds for the appeal to the Assistant Director Corporate Services within 14 days of the date of the letter confirming the decision reached at Stage 2. If no appeal is received within this period the employee will lose the right of appeal.

6.3.2 All appeals must be lodged by the employee concerned and cannot be lodged by other parties or representatives on behalf of the employee.

6.3.3 The grievance will be heard as soon as practicable by a Personnel Sub Committee of the Council. The employee will receive a minimum of 7 days notice of the date of the appeal hearing. This period may be reduced by mutual agreement.

6.3.4 The procedure for Appeals under Stage 3 are outlined in detail at Appendix A.

7. Chief Officers

- 7.1 As Chief Officers have only one or two officers who are senior to them in the structure of the Council it may not be possible for them to use all the stages of the grievance procedure as described above.
- 7.2 Grievances should, therefore, be referred to the appropriate Director in the first instance, who will respond within 14 days, and as a second stage to the Chief Executive who will respond within 14 days. Stage 3 will apply thereafter.

8. Directors

- 8.1 Directors and Divisional Heads within the Chief Executive's Department, should refer their grievance to the Chief Executive in the first instance. Stage 3 will apply thereafter.

9. Chief Executive

- 9.1 The Council's Grievance Procedure will be varied for the Chief Executive as necessary to ensure compliance with the JNC Local Authority Chief Executive national conditions of service.

10. Timescales

- 10.1 Where it is not possible to respond to an employee within a specified time period e.g. a requirement for further investigation, then the employee should be notified of this delay and also advised as to when a response can be expected.
- 10.2 Within the terms of this procedure, if leave of the employee raising the grievance, or of the officer to whom it must be referred, impedes the application of the time limits shown then these may be extended by the requisite number of days.

11. Illness / Absence during the Formal Grievance Procedure

- 11.1 Where an employee submits a grievance and is absent from work due to illness then the Council may, where necessary, seek advice from the Council's Occupational Health Advisor to determine the employee's fitness to engage in the process.
- 11.2 The Council will progress the grievance in the absence on an employee as far as possible.
- 11.3 The Council's Attendance Management Policy will continue to be implemented as normal throughout any grievance process.

12. Overlapping Grievance and Disciplinary Cases

- 12.1 If it becomes evident during any stage of the grievance procedure that a potential disciplinary issue is involved, the grievance procedure may be suspended and the matter dealt with under the Council's Disciplinary Policy and Procedure.
- 12.2 Where an employee raises a grievance during a disciplinary process, the disciplinary process may be suspended temporarily in order to deal with the grievance. However, where the grievance and disciplinary cases are related, the Council may deal with both issues concurrently under the disciplinary process.

13. Mediation

- 13.1 At any stage of this procedure, where both parties agree to participate, it may be appropriate for the Council to arrange mediation.

14. Malicious Complaints or Behaviour

- 14.1 The Council treats concerns raised by its employees very seriously. Similarly, it will view the raising of unfounded concerns for vexatious or malicious purposes, or for personal gain, very seriously and actions of this nature will be considered as potential disciplinary offences.

15. Records and Confidentiality

- 15.1 Information relating to an employee grievance will be retained in accordance with the Data Protection legislation. This will include:
- the nature of the grievance
 - what was decided and actions taken
 - the reason for the actions
 - whether an appeal was lodged
 - the outcome of the appeal
 - any subsequent developments
- 15.2 Copies of formal meeting records will be given to the employee including copies of any formal minutes that may have been taken. In certain circumstances, the Council may withhold some information e.g. to protect a witness.

16. Withdrawal of a Grievance

- 13.1 On occasion an employee may decide that they want to withdraw their grievance. This may be due to a genuine change of heart; the employee resolving the issue personally or the receipt of information that has shed new light on an issue.

- 13.2 Where an employee chooses to withdraw this must be notified, in writing, to the Line Manager / chief officer dealing with the case outlining the reasons for withdrawal. This will be acknowledged, in writing, by the Line Manager / Chief Officer advising on how the Council will deal with this e.g. in some cases a grievance raised may be so serious that the Council still needs to pursue an investigation.

Documentation

HRPP-9 / F1 Employee Grievance Form

HRPP-5 / F1 Investigation Plan (in Discipline Policy and Procedure)

Appendix A**1 Constitution of the Committee**

- 1.1 A Stage 3 Grievance will be heard by a duly convened and quorate Personnel Sub Committee of the Council. The Constitution defines the makeup of the Committee and how many Members constitute a quorum.
- 1.2 Members who have had any direct prior involvement in the case or where they have a prejudicial or pecuniary interest in the case will be excluded from sitting. The Human Resources Adviser to the Committee will attend the appeal to provide advice (including procedural and employment law advice) and will assist Members in establishing the facts being presented to them.
- 1.3 Normal Council Democratic Services support will be provided to the Committee. The Democratic Services Officer shall record the decision of the Committee but is not present to provide any form of advice other than on administrative matters.

2 Written Statements

- 2.1 Both Management and the Employee will be invited to submit a written statement of case.
- 2.2 Members of the committee will receive these statements (where submitted) 7 days before the hearing.
- 2.3 Where both parties have submitted statements these will be exchanged at least 3 days before the date of the hearing or as soon as possible if received after 3 days.
- 2.4 If one party does not produce a statement then they will receive the other party's statement as early as practicable on the day of the hearing.
- 2.5 Notice of a hearing will normally be 7 days unless it is agreed by both sides that a shorter notice period is acceptable.

3 Representation and Attendance

- 3.1 The Employee bringing the grievance appeal may attend with one Representative.
- 3.2 The Manager attending the appeal will attend with one HR Representative.
- 3.3 Witnesses, if any, will be called in to give evidence and will then leave the hearing.
- 3.4 It is at the discretion of the Panel to permit either side to bring additional Representatives/Managers, and to decide whether they may attend in an observer or participant capacity.

4 Procedure

The procedure will be as follows:

- (a) The aggrieved Employee and/or Representative shall state their grievance.
- (b) Whilst stating the grievance, if appropriate the Employee or their Representative may call Witnesses. The procedure for each Witness shall be:
 - Employee and/or Representative to question.
 - Management and/or HR Business Representative to question.
 - Employee or Representative to re-examine.
 - Chair to invite each member of the Committee and the HR Adviser to ask any questions.
 - Witness to leave the room.
- (c) The Management and/or HR Representative may ask questions of the Employee or Representative.
- (d) The Committee Members and the HR Adviser may ask questions of the Employee or Representative.
- (e) The Management and/or HR Representative to state the response to the grievance.
- (f) Whilst responding the Management and/or HR Representative may call Witnesses and the procedure for each Witness shall be:
 - Management and/or HR Representative to question.
 - Employee and/or Representative to question.
 - Management and/or HR Representative to re-examine.
 - Chair to invite each member of the Committee and the HR Adviser to ask any questions
 - Witness to leave the room.
- (g) The Employee/Representative may ask questions of the Manager and/or HR Representative.
- (h) The Committee members and the HR Adviser may ask questions of the Management and/or HR Representative.
- (i) The Management and/or HR Representative to have the opportunity to sum up his/her case if he/she wishes.
- (j) The Appellant or Representative to have the opportunity to sum up his/her case if he/she wishes.

- (k) The Management and HR Representative and the Appellant and Representative to withdraw.
 - (l) The Committee to deliberate in private with only the HR Adviser and Secretary in attendance recalling the Management Representative, HR Representative, the Employee and Representative only if clarification of evidence already given is required. In such instances all parties should be recalled even though clarification may be required from only one party.
 - (m) The Committee shall announce its decision to both sides unless further time for deliberation is needed, in which case both sides will be advised of this.
 - (n) The decision of the Committee will be notified to both sides in writing within 7 days of the hearing.
- 4.1 The provision for summing up at (i) and (j) does not include the right to introduce new evidence at this stage in the procedure. If this becomes necessary, then the other side should be given the right of reply.
- 4.2 Any matters of procedure not covered above will be for the Committee to decide.

FINANCE AND POLICY COMMITTEE

18th September 2017



Report of: Chief Executive

Subject: COUNCIL PLAN 2017 – 2020 -
QUARTER 1 PERFORMANCE REPORT

1. TYPE OF DECISION/APPLICABLE CATEGORY

Non Key Decision.

2. PURPOSE OF REPORT

- 2.1 To update Finance and Policy Committee of the progress made against the Council Plan 2017-2020 at the end of quarter 1, 2017/18 and ask Members to agree to a number of changes/updates to the plan.

3. BACKGROUND

- 3.1 A new style Council Plan 2017-20 was agreed by Council in March 2017 setting out what we will do to achieve our ambitious vision for Hartlepool. Within the plan we have identified 6 strategic priorities that will most quickly accelerate delivery of our ambition and shape a sustainable financial future of the Council. These strategic priorities are underpinned by clear plans and commitments, our key deliverables. There are milestones for each of the key deliverables which along with our performance indicators will enable us to demonstrate our progress toward achieving our overall vision.
- 3.2 A review of the Corporate Performance Management Framework was undertaken earlier in the year with the aim of ensuring that key officer groups and committees of the Council were gaining adequate oversight and assurances of the performance of the organisation against its strategic priorities and to ensure that any remedial action could be taken in a timely manner.
- 3.3 The revised framework is now in place and quarter 1 represents the first quarter of the new approach to performance management at a corporate level. This report focuses on updating elected members on the milestones and performance indicators that sit within the new Council Plan 2017-20.

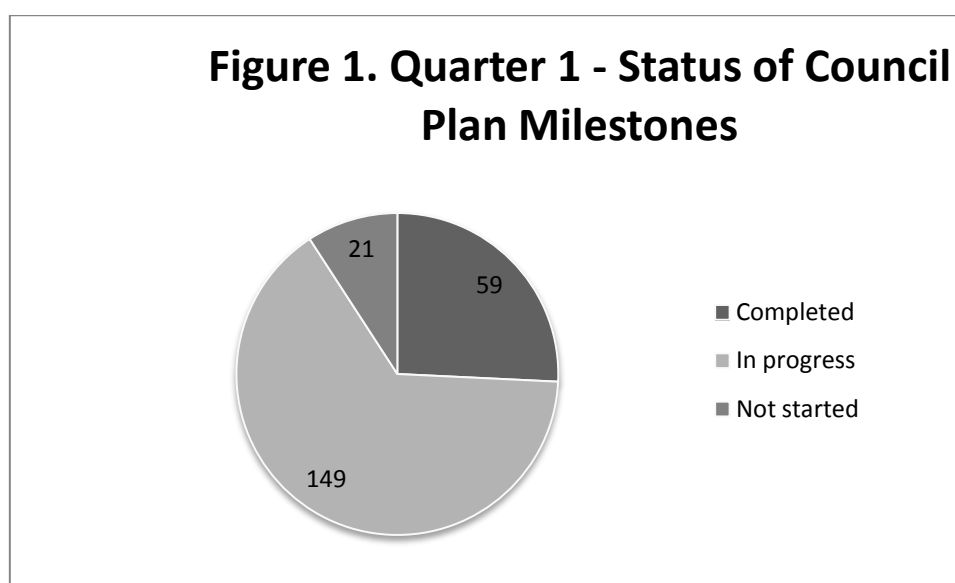
4. QUARTER 1 - SUMMARY OF PROGRESS

- 4.1 The summary of progress at the end of quarter 1, 2017/18 is included as **Appendix 1**. Members are requested to note the key achievements made this quarter as set out by strategic priority on **pages 1 – 3 of appendix 1**.

4.2 Milestones

The 6 strategic priorities within the Council Plan are underpinned by 45 key deliverables. A set of milestones (actions) have been identified for each key deliverable and in total there are 229 milestones in the plan.

- 4.3 At the end of quarter 1, the progress against the milestones within the Council Plan is set out in figure 1 below:



4.4 Milestones not completed by due date or will not be completed by their due date

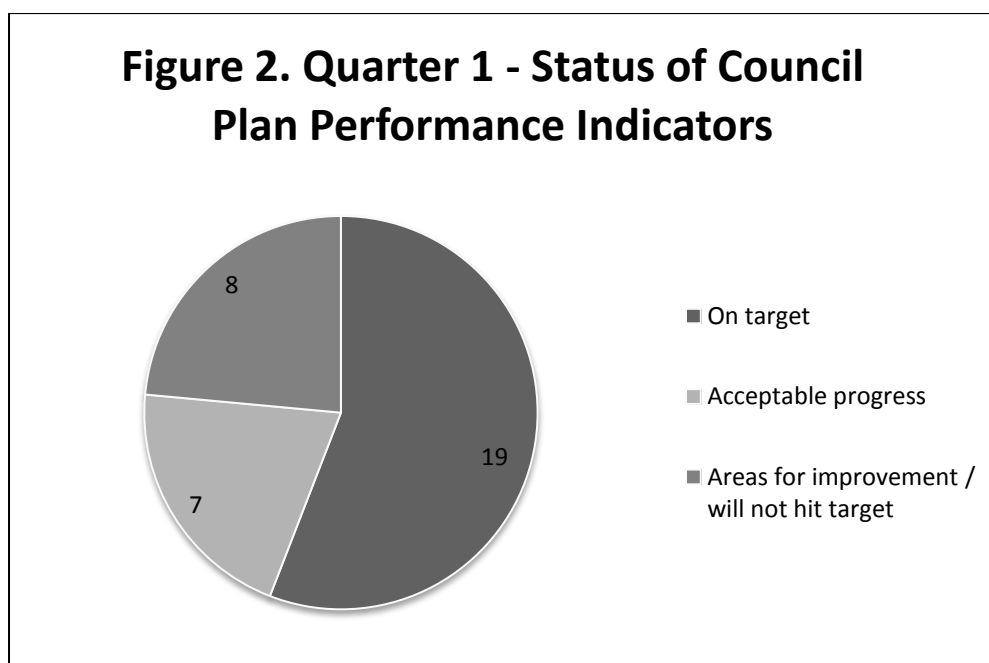
Members are asked to note that of the milestones that are currently in progress 19 have missed or will miss their due dates which represent only 8% of all of the milestones in the plan. As this is quarter 1 it is not unexpected that there are a number of milestones that are off target and this is in the main due to overly ambitious and unrealistic deadlines being set. This should improve as the year progresses. The milestones that have missed or will miss their due dates are set out in **pages 4 - 10 of appendix 1**. Members are asked to review these and agree the proposed new due dates.

4.5 Performance Indicators

74 performance indicators are included within the Council Plan and of these:

- 53 have specific targets;
- 15 have directions of travel (increase, maintain or reduce);

- 6 are in their baseline year in 2017/18 and will have targets set for 2018/19 and beyond through the annual refresh.
- 4.6 As members will be aware there are different reporting timeframes for performance indicators and of the 74 in the Council Plan:
- 37 are measured on a quarterly basis;
 - 37 are measured on an annual basis – however this includes both financial year and academic year.
- 4.7 At the end of quarter 1 data is available against targets for 34 performance indicators, this includes 1 annual performance indicator and current progress is set out in figure 2 below:



4.8 Performance Indicators – Areas for improvement

Members are asked to note that of the performance indicators that have data available this quarter, 8 are identified as areas for improvement/will not hit target as set out on page **11 - 13 of Appendix 1**. Members are asked to review the information provided and specifically:

- note the change to the methodology for calculating youth unemployment and unemployment rates and agree for new targets to be set following the 2017/18 baseline year;
- note the change to the national definition for delayed transfers of care and the new annual target set for this indicator by the Department of Health as part of the Better Care Fund (BCF) planning process.

5. RISK IMPLICATIONS

- 5.1 The Council Plan is monitored quarterly to enable early identification and reporting to Members of any emerging risks which might prevent delivery of the strategic priorities identified in the Council Plan.

6. FINANCIAL CONSIDERATIONS

- 6.1 No implications.

7. LEGAL CONSIDERATIONS

- 7.1 No implications.

8. CHILD AND FAMILY POVERTY

- 8.1 No implications.

9. EQUALITY AND DIVERSITY CONSIDERATIONS

- 9.1 No implications.

10. STAFF CONSIDERATIONS

- 10.1 No implications.

11. ASSET MANAGEMENT CONSIDERATIONS

- 11.1 No implications.

12. RECOMMENDATIONS

- 12.1 Finance and policy Committee is asked to consider and agree:
- the overall progress made on the Council Plan 2017-20 at the end of Quarter 1 2017/18 as set out above and the key achievements as set out in **pages 1 – 3 of appendix 1**;
 - the notes provided on the 19 milestones that have missed or will miss their due dates and agree the proposed date changes as set out in **pages 4 - 10 of appendix 1**;
 - the notes provided on the 8 performance indicators that have been identified as areas for improvement and agree the proposed changes to targets as set out on **pages 11-13 of appendix 1**.

13. REASONS FOR RECOMMENDATIONS

- 13.1 Finance and Policy Committee have overall responsibility for the monitoring of the Council Plan and has specific responsibility for a number of services that are included within the Council Plan.

14. BACKGROUND PAPERS



- 14.1 Council Plan 2017-2020 - as agreed in 16th March 2017 report to Council.



15. CONTACT OFFICER



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Overview of key achievements and positive performance made during Quarter 1 2017/18.

Strategic Priority	Key achievements for quarter 1
 <p>Growing our economy, jobs and skills</p>	<ul style="list-style-type: none"> • The Council have been successful in acquiring the former General Post Office (GPO) building on Whitby Street which once refurbished will include 31 units for creative industry and will be rebranded as 'the BIS'. • The stage 4 RIBA designs for 'the Bis' have been completed together with the joint marketing plan with Cleveland College of Art and Design. A number of the key actions emerging from that plan are now being implemented. • A contractor has been appointed for 'the Bis' and work is expected to start in the Autumn. • The Youth Employment Initiative programme is progressing well with 3,245 young people engaged on it to date. • There were 578 learners participating in community learning programmes at end of Q1.
 <p>Regenerating our town</p>	<ul style="list-style-type: none"> • The round 2 Townscape Heritage Application for funding for the Church Street revival scheme was successful. The works are scheduled to start in September. • The Council was awarded £600,000 from the Coastal Communities fund to contribute towards the regeneration of Seaton Carew. • Outline plans for the Art Gallery have been drafted ready for any funding opportunities that should arise. • The designs for the highway improvement scheme in Stockton Street were agreed at a joint Neighbourhood Services and Regeneration Services Committee meeting on 30th June 2017. • The Waterfront Festival is scheduled to take place on 2nd September 2017 and promotion of the event is well underway. • The Hartlepool coastline has been identified for a 'daymark' site, one of 80 nationally. Tour De Coast, a national charity which aims to encourage people to visit Britain's coastline, has approached Hartlepool to be a site for a 2.4 metre high daymark feature. A report on the proposal will be taken to Regeneration Services Committee on 4th September. • Twelve bold new pieces of artwork have been installed at Hartlepool Railway Station.

Strategic Priority	Key achievements for quarter 1
 <p>Developing and promoting Hartlepool as a great place to live</p>	<ul style="list-style-type: none"> • The local plan has been submitted to the Secretary of State and a planning inspector has been appointed and the timetable published. • The Council continue to bring vacant homes back into use and 29 empty properties were brought back into use during Q1. • The Neighbourhood Investment Programme was agreed at a joint Neighbourhood Services and Regeneration Services Committee meeting on 30th June 2017. • The wild flower programme has expanded to 37 locations plus 7 perennial meadows have been created. • The Hartlepool Access hub was announced and 457 users have been involved in sustainable travel activities. • Further cycleways have been developed along the A689 and A179.
 <p>Developing new services for people and communities</p>	<ul style="list-style-type: none"> • The 3 Community Hubs (North, Central and South) were ready to open in July 2017 with further planned and phased development to enable them to be fully operational by April 2018. • The Health Trainer Service was reshaped and remodelled so that it could provide Community Hub Advisors in each Community Hub by July 2017 and other lifestyle services, like smoking cessation, could be provided in the Hubs. • A new model for supporting drug and alcohol recovery and supporting clients with on-going drug and alcohol addiction issues was launched in April 2017 built around the newly sourced substance misuse service. • The Mill House Leisure Centre successfully hosted the counts for the local and national elections in May and June 2017 which drew national attention. • Performance for the percentage of goals met at the end of a period of reablement support has been excellent with 98% against a target of 80%. • A new care home for older people opened in May 2017 providing support to up to 50 people who require residential or nursing care, and increasing choice within the town. • Partnership work with the McKenzie House practice to better co-ordinate care for vulnerable patients is progressing well and the model is being developed further. • The new Centre for Independent Living officially opened in May 2017 to support adults with learning disabilities and / or physical disabilities. The new centre brings together staff and services from health and social care and

Strategic Priority	Key achievements for quarter 1
	<p>housing, along with providers from the private and voluntary sector, who all share an ambition and commitment to improve the life chances of people with disabilities.</p> <ul style="list-style-type: none"> • An Integrated Discharge Team has been developed bringing together a range of health and social care professionals to ensure that people experience safe and timely discharge following a hospital stay. The team recently won an award for best innovation project at the North East, Cumbria, Yorkshire and Humber Commissioning Awards.
 <p>Building better beginnings and futures for our children and young people</p>	<ul style="list-style-type: none"> • Cleveland College of Art and Design (CCAD) were secured as lead provider for year 1 for the new centre of excellence in technical education in creative industries at the Northern Lights academy. • The transfer of Children's Health staff to the Local Authority was successfully implemented during Q1. • The Chief Executive for the Hartlepool Young People's Foundation was appointed during Q1. • There has been an increase in the number of foster carers approved by the Council. • A multi agency improvement plan for children with special educational needs and disabilities has been agreed by Ofsted and the Department for Education and an Improvement Board for Hartlepool has been established with partners.
 <p>Provide effective leadership based upon innovation and efficiency</p>	<ul style="list-style-type: none"> • The Council achieved compliance with the Information Governance (IG) Toolkit enabling connection to the NHS digital network. • The percentage of Council Tax collected, Business rates collected, invoices paid on time and invoices paid to local businesses within 10 days are ahead of target in Q1. • The Local Government Association Communications Review took place in July and an action plan based on their recommendations is being prepared. • Staff had access to ICT systems 99.7% of the time in Q1 which is above target.



Milestones not completed by due date or will not be completed by their due date.

The following 19 milestones within the Council Plan have not been completed by their initial due date or will not be completed by their due date and therefore new due dates are proposed.

STRATEGIC PRIORITY - Growing our economy, jobs and skills			
Key Deliverable - In partnership with public and private sector operators launch a new tourist marketing and promotion campaign 'Destination Hartlepool' supported by a coordinated events, exhibitions and festivals programme by 2017.			
Milestone	Due date	Proposed new due date	Note
Develop a Destination Hartlepool brochure	April 2017	September 2017	A brochure and film have been commissioned and a launch business breakfast will take place in late September / early October.
Introduce new banners along Stockton Street creating a sense of arrival	June 2017	August 2017	Banners have been installed to promote the Waterfront Festival. Additional banners have been commissioned which will be installed to coincide with the regeneration programme throughout the year.

Key Deliverable - In partnership with public and private sector operators launch a new tourist marketing and promotion campaign 'Destination Hartlepool' supported by a coordinated events, exhibitions and festivals programme by 2017.			
Milestone	Due date	Proposed new due date	Note
Agree the strategic investment plan, involving key stakeholders for the NMRN within the wider context of the regeneration of the Waterfront	June 2017	October 2017	Development programme for both the authority and the National Museum of the Royal Navy (NMRN) is progressing. The strategic investment plans of the NMRN are being developed alongside the delivery of the Council's Waterfront Masterplan. Tess Valley Combined Authority (TVCA) development funding has been approved.
Key Deliverable - Open 'the Bis' in partnership with Cleveland College of Art and Design (CCAD) - a new world class managed workspace for emerging creative industries.			
Milestone	Due date	Proposed new due date	Note
Complete Due Diligence on Local Growth Fund (LGF) funding application	April 2017	October 2017	Tees Valley Combined Authority (TVCA) development fund successful but delay incurred due to the purdah period for the General Election.
Key Deliverable - Promote Hartlepool as a location for TV and Film production by Summer 2018.			
Milestone	Due date	Proposed new due date	Note
Pilot the CCAD facilities to the market before launch to test the feasibility of the business.	June 2017	October 2017	Development fund approved which includes the recruitment of a business manager whose remit is to promote the CCAD film and TV offer. Delays incurred due to the purdah period for the General Election. Cleveland College of Art & Design have piloted the facilities with students and are marketing facilities around various exhibitions.

Key deliverable - Work with key learning providers and employers to deliver a new approach to targeting learning, skills and employment pathways for unemployed adults and parents.			
Milestone	Due date	Proposed new due date	Note
Undertake skills needs analysis on 100 companies to support the development of their workforce	August 2017	March 2018	The Tees Valley ESF Workforce Skills Programme was not successful. However, both Adult Education and Economic Regeneration will work with local businesses to support the development of their workforce.
Key Deliverable - Increase local and public sector spending in the local supply chain in Hartlepool.			
Milestone	Due date	Proposed new due date	Note
Review impact of Hartlepool Borough Council's Economic Regeneration and Tourism Forum	July 2017	December 2017	Scope of review to be developed and reported to members for approval.

STRATEGIC PRIORITY – Regenerating our town.
Key Deliverable - Deliver improvements to Stockton Street

Milestone	Due date	Proposed new due date	Note
RIBA Stage 4 of Design for the construction tender	April 2017	October 2017	Work is ongoing to progress. The highway improvement scheme designs for Stockton Street were agreed at a joint Neighbourhood Services and Regeneration Services Committee meeting on 30 th June 2017.

Key Deliverable - Complete a phased regeneration of the Waterfront to include a landmark visitor attraction complemented by hotel and leisure facilities by 2020			
Milestone	Due date	Proposed new due date	Note
Demand and tourism study completed	May 2017	August 2017	Consultants IPW3 working with National Museum Royal Navy and Hartlepool Marina. Submitted a draft report in July 2017. Officers are currently reviewing and making comments. IPW3 will present the final report to the Regeneration Programme Board in August 2017.
Investment Prospectus produced	May 2017	January 2018	Developer prospectus delayed due to IPW3 report.
Develop concept for a visitor attraction for past, present and future	May 2017	December 2017	Currently awaiting market research evidence from consultants IPW3 which is due in July 2017. The evidence will provide critical information on building concept, offer, visitor numbers and likely floor space requirements. This will be progressed through the Regeneration Programme Board meetings throughout 2017/18.
Produce architectural designs for a new visitor attraction	June 2017	June 2018	Masterplan needs to be agreed, funding bid(s) submitted and agreed before architectural designs are produced.
Tender for a development partner	June 2017	March 2018	A decision the type and nature of the development partner and the arrangement with the Council will be made in September 2017 subject to discussions with delivery partners who have had experience of the process and successfully delivered schemes in the North East region.

Key Deliverable - Facilitate the sustainable development of Hartlepool through the adoption of the Local Plan by 2018			
Milestone	Due date	Proposed new due date	Note
Examination in Public of the Local Plan	August 2017	October 2017	The Hearing sessions to Examine the Local Plan have been scheduled to take place during the last week in September and the first two weeks in October 2017. Work is ongoing to prepare additional information requested by the Planning Inspector. Programme Officer was appointed prior to Submission and is the point of contact with the Inspector. Hartlepool College of Further Education has been booked as the venue and all other actions are on track.

STRATEGIC PRIORITY – Developing new services for people and communities			
Key deliverable - Widen participation in sport and leisure activities by April 2018			
Milestone	Due date	Proposed new due date	Note
Complete the indoor sports strategy to ensure planning and investment in services reflects need	May 2017	October 2017	The Playing Pitch Strategy and the Indoor Facilities Strategy have been commissioned from a specialist company and they are advanced in the work they are doing. It is anticipated that a draft for consultation will be available during the late summer and the final Strategy should be ready to go to Committee in October 2017 as planned.

Key deliverable - Implement the new model for supporting drug and alcohol recovery by September 2017			
Milestone	Due date	Proposed new due date	Note
Review new service model	April 2017	December 2017	The previous contract for Recovery Services with Lifeline was terminated with effect from 31st March 2017 and a new Recovery Model was established as an "in house" provision on 1st April 2017. A formal review of the service will be conducted with stakeholders and clients after 6 months of operation and any necessary changes to the Model will be made by the end of December 2017.

STRATEGIC PRIORITY – Providing effective leadership based upon innovation and efficiency			
Key deliverable - Implement ways of communicating the change that is happening in Hartlepool both within and outside the Borough			
Milestone	Due date	Proposed new due date	Note
Agree communication arrangements including potential new ways of communicating, local and national promotion and an annual communications plan for 2017/18 based on the milestones identified in the Council Plan	June 2017	October 2017	LGA review now complete but was delayed due to the calling of the General Election. Council Plan launch events arranged for 13 th July. Overall Communications Plan with milestones to be developed, following LGA review and will be in place for October 2017.

Key deliverable - Strengthen arrangements to enable elected members to fulfil their role as democratically elected community champions			
Milestone	Due date	Proposed new due date	Note
Development seminar programme agreed for Elected Members for 2017/18 municipal year	May 2017	October 2017	Elected Members will be consulted on a draft programme in September.
Key deliverable - Introduce a new workforce and leadership and management development programme to unlock the potential of our staff to play a key role in finding alternative ways of delivering efficiencies and increasing income			
Milestone	Due date	Proposed new due date	Note
Develop and agree new Workforce and Leadership and Management Development programme	June 2017	September 2017	A draft leadership and management development programme has been developed, and a consultation exercise via a manager's forum has been undertaken. Both programmes have been refined to take account of manager's feedback and has now been agreed to be rolled out from October 2017.

2017/18 Quarter 1 – Performance Indicators - Areas for Improvement

Performance Measure	Q1 Actual	Annual Target	Latest Note
Youth Unemployment rate (Hartlepool) - the proportion of economically active 18 to 24 year olds who are unemployed	9.6%	3% - propose to remove from plan	<p>The method of calculating this dataset has changed due to the introduction of Universal Credit. The figure for youth unemployment is higher because under Universal Credit, a broader span of claimants are required to look for work than under Jobseeker's Allowance. This has the effect of increasing the number of unemployed claimants.</p> <p>Hartlepool Jobcentre Plus has been fully live on Universal Credit for six months so most young people are now claiming this benefit. However, most jobcentre areas have not yet moved to "Full Service" but will do so over the course of 2017 and 2018 therefore it is not possible to compare our position against others or the national average. A new target needs to be set for this indicator to reflect the new methodology. It is proposed that the current target is removed from the plan and this year will be a baseline year for the new indicator.</p>
Unemployment rate (Hartlepool) - the proportion of economically active people who are unemployed	5.9	4.3%- propose to remove from plan	<p>The method of calculating this dataset has changed due to the introduction of Universal Credit. The figure for unemployment is higher because under Universal Credit, a broader span of claimants are required to look for work than under Jobseeker's Allowance. This has the effect of increasing the number of unemployed claimants.</p> <p>Hartlepool Jobcentre Plus has been fully live on Universal Credit for six months so most people are now claiming this benefit. However, most jobcentre areas have not yet moved to "Full Service" but will do so over the course of 2017 and 2018 therefore it is not possible to compare our position against others or the national average. A new target needs to be set for this indicator to reflect the new methodology. It is proposed that the current target is removed from the plan and this year will be a baseline year for the new indicator.</p>

Performance Measure	Q1 Actual	Annual Target	Latest Note
Youth Employment Rate	43.4%	47%	The Youth Employment Rate is currently 43.4% and this is being improved through the Youth Employment Initiative which is supporting young people into Education, Employment or Further Training.
Number of people using leisure services	79,141	335,698	Overall attendances appear to be 1,308 down on the target for Q1 of 80,449 but it should be noted that attendances at Mill House Leisure Centre are recorded as being down by 4,463 on this time last year. Investigatory work is taking place to make sure all attendances are being recorded on the systems as site staff members have commented on the Centre being busier than previous years and income has increased compared to Q1 last year. It is hoped that this figure will be more favourable. A follow up report will be provided in Quarter 2.
Monthly rate of delayed transfers of care from all NHS hospitals, acute and non-acute, per 100,000 population aged 18+ that are attributable to social care	8.6	15.2 New target set by DoH	<p>Performance data in this area has been subject to challenge over the last 9 months following changes to NHS reporting arrangements. These issues have now been resolved with North Tees and Hartlepool NHS Foundation Trust (NT&HFT) and the reported performance of 3.3 days per month relating to NT&HFT is confirmed as being accurate. Excellent performance reflects close joint working with the NT&HFT including the recent development of an Integrated Discharge Team.</p> <p>Q1 performance also includes delays reported by South Tees Hospitals NHS Foundations Trust as attributable to Hartlepool Borough Council. This figure of 5.3 days per month is subject to challenge and will potentially reduce, which will impact on overall quarterly performance.</p> <p><u>Technical note for Committee:</u> The national definition of this indicator has been changed by the Department of Health and is different from that originally included in the Council Plan. Following the change of definition a new annual target for this indicator was nationally set by the Department of Health as part of the Better Care Fund (BCF) planning process.</p>

Performance Measure	Q1 Actual	Annual Target	Latest Note
Number of children defined as a Child in Need, rate per 10,000 population under 18	516.7	441.5	<p>Number and rate of children defined as Child In Need continues to increase. This is in line with an increase of demand across all children's social care services and reflects regional and national trends. Work continues to take place to understand reasons for significant increase in demand.</p> <p>Early help services are being reviewed and remodelled in context of child community health services transferring into local authority to support families before need becomes acute and requires a statutory intervention.</p>
Rate of Looked After Children per 10,000 population	134.7	113.5	<p>Number and rate of children looked after continues to increase. This is in line with an increase of demand across all children's social care services and reflects regional and national trends. Work continues to take place to understand reasons for significant increase in demand.</p> <p>Early help services are being reviewed and remodelled in context of child community health services transferring into local authority to support families before need becomes acute and requires a statutory intervention.</p>
Rate of children who are the subject of a Child Protection plan, per 10,000 population	89.5	59.6	<p>Number and rate of children subject to a child protection plan continues to increase. This is in line with an increase of demand across all children's social care services and reflects regional and national trends. Work continues to take place to understand reasons for significant increase in demand.</p> <p>Early help services are being reviewed and remodelled in context of child community health services transferring into local authority to support families before need becomes acute and requires a statutory intervention.</p>

FINANCE AND POLICY COMMITTEE

18th September 2017



Report of: Corporate Management Team

Subject: STRATEGIC FINANCIAL MANAGEMENT REPORT
- AS AT 31st July 2017

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) 2017/18 Forecast General Fund Outturn;
- ii) Corporate Income Collection Performance; and
- iii) 2017/18 Capital Programme Monitoring.

3. BACKGROUND AND FINANCIAL OUTLOOK

3.1 As detailed in the Medium Term Financial Strategy (MTFS) Report submitted to this Committee on 9th January 2017 the Government will implement further cuts in funding for Councils up to 2019/20. Over the years covered by the MTFS (2017/18 to 2019/20) this means a further grant cut of £9.8m. The Council set a balanced budget for 2017/18, which includes the use of one off reserves. After reflecting the impact of inflation and legislative changes the Council faces a net deficit for the next 2 years of £7.495m, which is predicated on annual Council Tax increases of 3.9% (inclusive of 2% Social Care Precept) and use of the Budget Support Fund. There is a separate MTFS report on the agenda which details proposals for managing the 2018/19 and 2019/20 budget deficits.

3.2 In view of the ongoing financial challenges the Corporate Management Team will continue to adopt robust budget management arrangements during 2017/18 and as detailed in section 5 it is becoming increasingly difficult to manage the annual budget. This position will need to be managed carefully over the remainder of the financial year, particularly over the winter period where some services face their highest demand and therefore cost of providing services.

4. REPORTING ARRANGEMENTS 2017/18

- 4.1 The availability and reporting of accurate and up to date financial information is increasingly important as future budget cuts are implemented and one-off resources are used up.
- 4.2 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 the Committee to approve a strategy for addressing the financial issues and challenges facing the Council.
- 4.3 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 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.

5. GENERAL FUND BUDGET 2017/18 FORECAST OUTTURN

- 5.1 An assessment of the forecast 2017/18 outturn has been completed and an overspend of between £0.420m and £0.920m is anticipated. Further details are provided in Appendix A, which also includes details of the actual 2016/17 outturn. The 2017/18 outturn has been prepared to reflect expenditure incurred to date and forecast to be incurred in the rest of the financial year. As Members will be aware from previous years significant elements of the Council's budget are demand led and affected by expenditure over the winter months, including care costs in relation to older people and winter maintenance. The outturn forecasts will be closely monitored and regular updates will be reported to this Committee. The forecasts need to be considered in the context of the complexity of managing a gross General Fund budget of £260m and a net budget of £73m.

Forecast overspend / (under spend) 2017/18

2016/17 Actual Outturn £'000		Worst Case - Overspend/ (Under spend) £'000	Best Case - Overspend/ (Under spend) £'000
1,502	2017/18 Forecast Departmental budgets outturn	1,420	920
(1,240)	2017/18 Forecast Corporate budgets outturn	(500)	(500)
262	Net Forecast overspend	920	420

- 5.2 The majority of the forecast overspend relates to continuing costs in relation to Looked after Children (LAC), including the cost of care proceedings. As reported in the January 2017 MTFs these pressures arose in 2016/17 and it was recognised that these pressures would continue into 2017/18 and 2018/19.

- 5.3 These issues are not unique to Hartlepool and a report from the Local Government Association (LGA), published on 9th August 2017, highlighted that in 2016/17 75% of councils over spent on children's services. The LGA report also indicated that by 2020 they are forecasting a national funding gap for children's services of £2 billion.
- 5.4 To address the financial impact of these pressures the MFTS is predicated on using the one-off LAC Reserve with the aim of providing a longer lead time to hopefully manage demand to reduce costs back down to the level of the recurring budget. The outturn forecast reflects the planned use of £1.4m of the LAC Reserve in 2017/18, with the remaining £0.7m being allocated to support these pressures in 2018/19.
- 5.5 The January 2017 MFTS report also indicated that if demand cannot be reduced the Council will face a permanent budget pressure and this will increase the overall budget deficit. To avoid this pressure impacting on the 2018/19 budget it will be necessary to make additional contributions to the LAC Reserve and plans are being developed to achieve this.
- 5.6 This proposal will not provide a permanent solution, although it should provide a longer lead time to potentially reduce demand and / or for the Government to recognise that this is a national issue which they either need to address by providing additional new funding, or by reallocating existing Local Government funding via the Fair Funding Review. Clearly, if neither of these options are implemented the Council will face an increased budget deficit and will have to make permanent cuts in other areas to meet ongoing commitments in relation to Looked after Children costs.
- 5.7 The range in the outturn forecast of £500,000 reflects uncertainty regarding the achievement of income targets in Regeneration and Neighbourhoods Services and additional waste disposal costs. These issues had arisen during 2016/17, although they were offset by one off grant income in other areas, which resulted in an overall under spend for the Department. The Department will seek to address these issues during 2017/18. However, if this is not possible the Council will need to manage the higher deficit figure. In addition, the Department will be addressing these issues on a permanent basis within the 2018/19 budget proposals by identifying additional savings.
- 5.8 Detailed financial information on the projected outturn for individual Departments by Committee is provided in Appendices B to E.
- 5.9 Strategy for Managing the 2017/18 Forecast Overspend**
- 5.10 In 2016/17 the Council managed a significant overspend on departmental budgets from an under spend on corporate budgets. The corporate budget under spend is not available as these savings (predominantly a £2m recurring Minimum Revenue Provision saving) were built into the 2017/18 base budget as recurring savings. Therefore, there is significantly less financial flexibility within the base budget to manage over spends in departmental budgets.

5.11 In order to address the forecast 2017/18 over spend of between £0.420m and £0.920m the following options are being explored and further details will be reported to a future meeting:

- identify 'discretionary spending' which can be stopped, or delayed;
- reserves review to potentially release one off funding;
- capitalise existing revenue spending.

5.12 House Sales income

5.13 The Council also benefits from the receipt of income from Housing Hartlepool from the sale of former Council houses. This income will is dependent on individual house sales and is therefore difficult to forecast as the amount varies from month to month. The value of receipts for the first four months was £63,000 which is earmarked for the Housing Revenue Account (HRA). Proposals for using this funding will be included in the report accompanying the HRA Business Plan to this Committee in October.

6. Housing Revenue Account

6.1 The Housing Revenue Account (HRA) is a ring fenced account relating to the Council's rented housing. It was reopened on the 1st April, 2016 as a result of the number of houses exceeding the Government's new limit of 200, which was announced in a Ministerial Statement on 20 March, 2015. Details of the forecast outturn are shown at Appendix F. The forecast outturn is a deficit of £0.049m which is being met from the HRA Reserve. This is owing to a higher level of void properties than expected which has resulted in lower rent income and higher repairs expenditure. These issues will be covered in detail in the HRA Business Plan report to be presented to Finance and Policy Committee in October.

7. Corporate Income Collection Performance

7.1 Previous reports 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 70% (i.e. £51.1m) 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

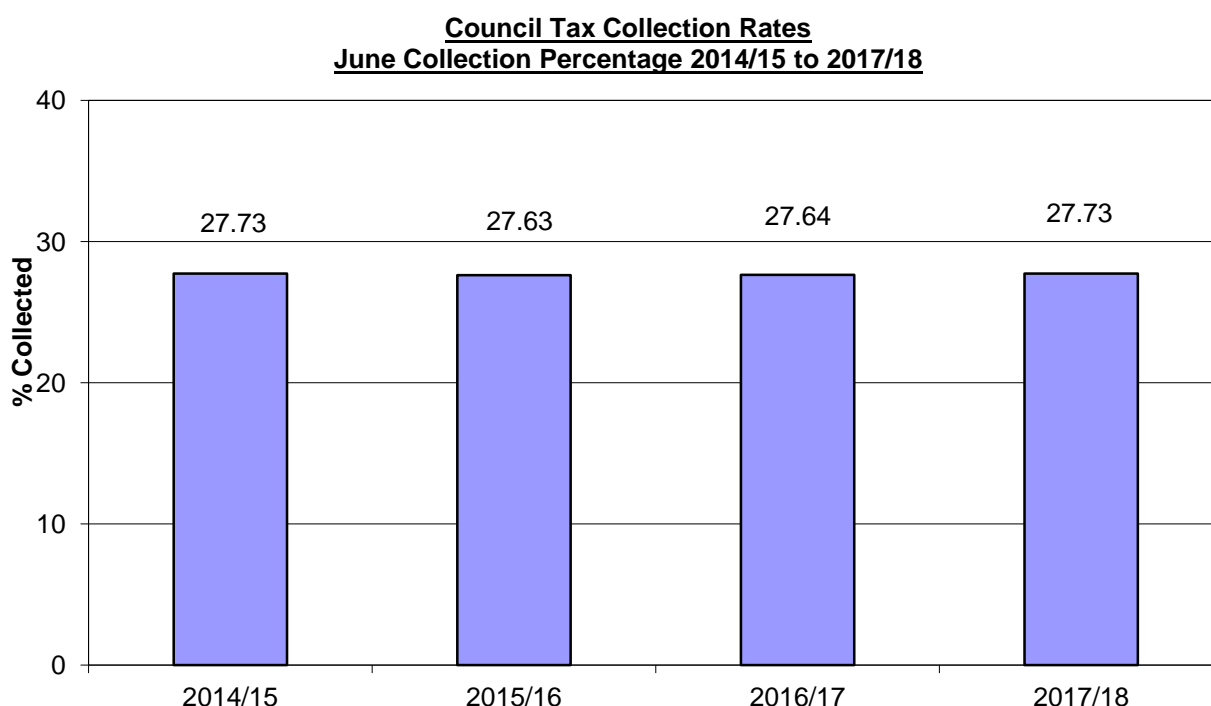
7.3 The re-localisation of Business Rates is a significant additional financial risk for Local Authorities to manage - 50% of any shortfall arising from either nonpayment by businesses, or reductions arising from the Valuation Office re-assessing rateable values, falls on individual authorities. A 'safety 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 98.4% in 2016/17 (national average 97.75% 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 At the 30th June 2017 the Council had collected 28.93% of the 2017/18 liability, down by 1.58% compared to the same period last year. The timing and value of appeal decisions by the Valuation Office Agency makes comparison of collection performance for Business Rates between financial years difficult. A comprehensive review of the recovery status of all 2,825 business rates accounts has been undertaken which indicates that by the end of the financial year collection levels in excess of 98% should be sustained.

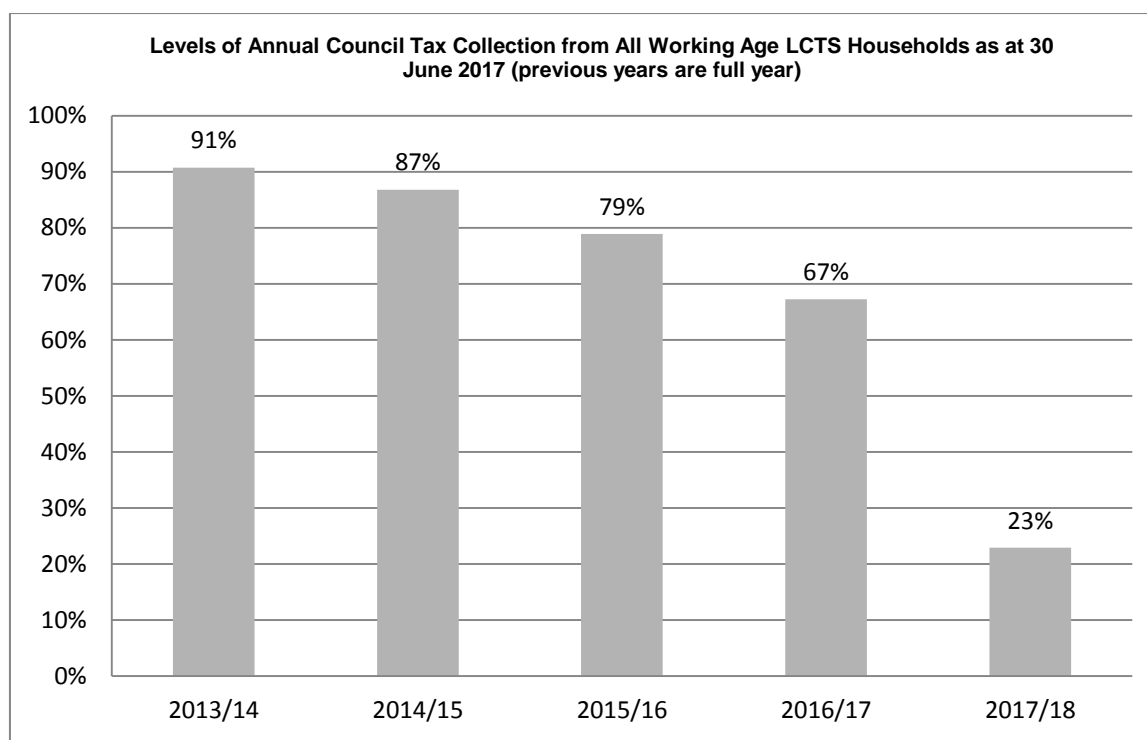
7.6 Council Tax

7.7 The overall Council Tax collection rate at 30th June 2017 was 27.73% compared to 27.64% for the same period last year, up slightly by 0.09%, as summarised in the graph below reflecting a stable position.



7.8 Collection performance is impacted by the time lag in recovering Council Tax by Attachment of Benefit, where the rate of deduction is capped at £3.70 per week and only one deduction can be active at any one time. This particularly affects working age households in receipt of Local Council Tax Support (LCTS).

7.9 There are about 8,100 working age households who receive LCTS. The Council monitors closely levels of collection from these households which have been impacted by a range of national welfare reforms. The graph below shows that collection from these households is positive, albeit there are the forecast time lags in securing collection.

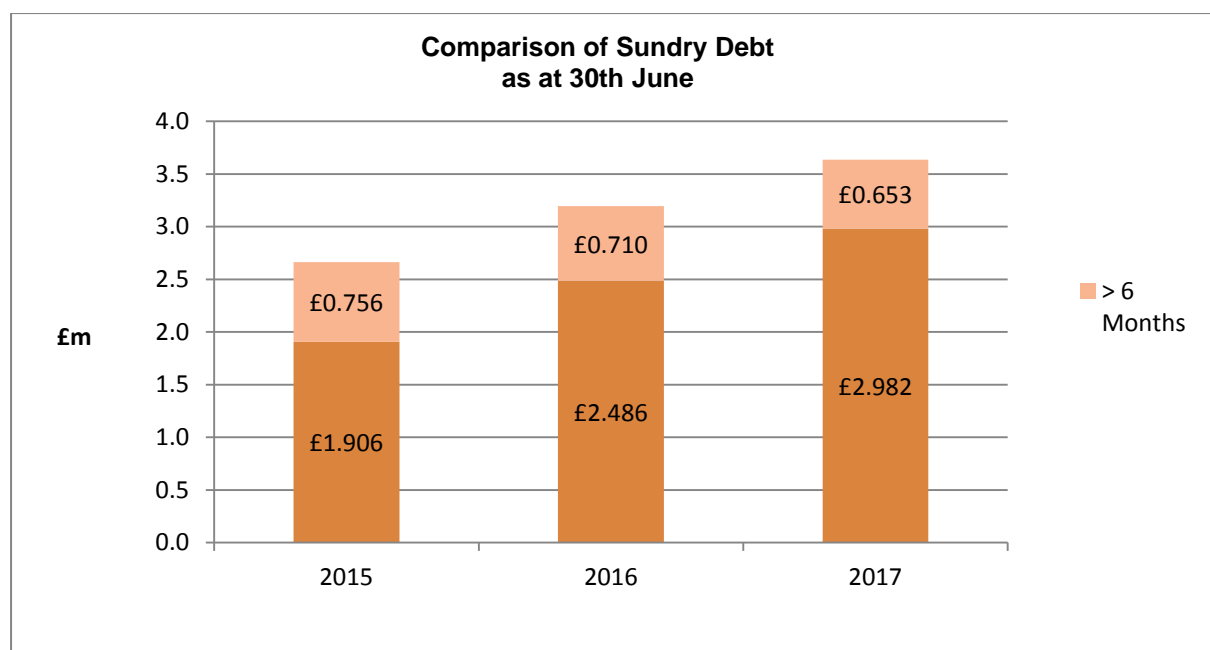


7.10 Collection of Council Tax from LCTS households continues to be within the financial planning parameters that underpin the Council's LCTS scheme.

7.11 Sundry Debts

7.12 The Council also collects significant Sundry Debts income for the payment of services provided by the Council. In total £8.360m of sundry debts were raised in the first three months of 2017/18. As at 30th June 2017, £5.843m (68.89%) of this amount had been collected.

7.13 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.



7.14 Debtors totalled £3.635m as at 30th June 2017, of which £2.982m (82.03%) relates to current debts (less than 6 months old).

7.15 Included within current debts (less than 6 months old) is debt where the customer has been invoiced for the whole of 2017/18 but payment is to be received in installments throughout the year.

7.16 Debts greater than 6 months old total £0.653m. 95.10% of this amount is under recovery action and 4.90% (£0.032m) is now considered unrecoverable and will be reported to Members for write off in October 2017.

8. Capital Receipts Target

8.1 The Council previously set a capital receipt target to provide funding to offset the removal of HMR (Housing Market Renewal) funding in 2011. Owing to the challenging economic conditions over the last few years these capital receipts have taken longer to achieve than initially anticipated. At the 31st March 2017 £2.891m of this still needed to be achieved. This amount is net of capital receipts for King Oswy Drive/Former Henry Smiths site which is being received as installments.

8.2 As at the 31st July the Council has completed the sale of Gardner House and terms are being negotiated for the sale of land at Seaton Lane. Furthermore as detailed elsewhere on the agenda there is a report on the proposed sale of land at Hart. The potential impact of the recommended tender on the capital receipts target is detailed in the **Not for Publication Appendix G. 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.**

- 8.3 The sale of land at Hart is anticipated to be the largest capital receipt to be achieved over the next three years (i.e. 2017/18 to 2019/20) and will be received in installments over the period 2018/19 to 2020/21. Therefore there will continue to be a reliance on prudential borrowing until these monies are received. As it is not anticipated that there will be any significant increase in the Bank of England Base Rate, the cost of using prudential borrowing will be marginal. These additional costs can be accommodated from within the overall centralised estimates budget.

9. 2016/17 Capital Programme Monitoring

- 9.1 Capital Expenditure for all departments to the 31st July, 2017 is summarised in the table below.

Department	BUDGET		EXPENDITURE IN CURRENT YEAR				
	A	B	C	D	E	F	G
						C+D+E	F-B
	2017/18 and Future Years Budget £'000	2017/18 Budget £'000	2017/18 Actual at 31/07/2017 £'000	2017/18 Expenditure Remaining £'000	Expenditure Rephased to 2018/19 £'000	2017/18 Total Expenditure £'000	2017/18 Variance from budget £'000
Child & Adult	7,294	7,294	359	6,935	0	7,294	0
Public Health	615	540	58	482	0	540	0
Regeneration & Neighbourhoods	22,723	18,330	2,035	14,590	1,705	18,330	0
Chief Executive	477	477	0	477	0	477	0
Corporate	3,115	3,115	55	2,950	110	3,115	0
Total Capital Expenditure	34,224	29,756	2,007	25,434	1,815	29,756	0

- 9.2 The table above shows the overall capital budget for 2017/18 and future years, and the capital budget specific to 2017/18.
- 9.3 Actual expenditure to 31st July 2017 was £2.507m, compared to a 2017/18 budget of £30.256m; £1.815m has been rephased to 2018/19 leaving £25.934m to be spent during the remainder of 2017/18. The rephased budget relates mainly to vehicles purchases, which are being kept to a minimum while services are being reviewed.
- 9.4 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.
- 9.5 Detailed financial information on the capital programme for individual Departments by Committee is provided in Appendices H to L. Items to bring to Members attention are discussed below.
- 9.6 Managed Workspace Changes and £0.300m National Productivity Investment Fund**
- 9.7 An estimate of the cost of the Innovation and Skills Quarter (ISQ) programme was reported to a Joint meeting of the Finance and Policy Committee and Regeneration Services Committee, on 27th March, 2017. It was reported that the

figures presented were pre-tender estimates based on detailed design plans at the time, and it was expected that these would change following the procurement of tenders for the construction work.

- 9.8 The table below provides an update on the ISQ Programme budget which reflects the recent tender prices for the Managed Workspace, Church Street and Church Square construction work.

Project	Original Estimate Reported to Joint F&P and Regeneration Services Committee 27.3.17 £'000	Latest Estimate £'000
Managed Workspace	3,137	3,718
Church Street	2,169	2,160
Church Square	1,423	1,378
Stockton Street	1,729	1,202
Church Street High Speed Broadband	30	30
TOTAL	8,488	8,488

- 9.9 Members will be aware that external funding opportunities were being explored to reduce the funds required from the Council. The proposals approved by Finance and Policy Committee on the 27th March stated that any additional funding secured in the future would be used to substitute the Council's match funding contribution and allow the value of the amount secured to be transferred back into the Regeneration Fund to support future regeneration schemes.
- 9.10 Since then the Council has been successful in securing funding of £0.300m from the Department for Transport's National Productivity Investment Fund to support the connectivity aspects of the scheme.
- 9.11 Following the procurement process it has been necessary to carry out value engineering reviews on key project elements mainly involving Stockton Street and the Managed Workspace. It is anticipated that there is limited scope for further savings unless changes were to be made to reduce project scope or use lower quality construction materials. In addition, owing to the nature of key elements of the ISQ programme there are significant challenges and potential financial risks involved in delivering these schemes, particularly in relation to highways works.
- 9.12 It is therefore recommended that until work on these projects has progressed to a stage when these financial risks have been eliminated that return of the £0.300m Council funding to the Regeneration Fund is deferred. This will provide an additional contingency for the overall scheme of 3.5%, to manage potential unforeseen issues and or price increases. Progress on the delivery of the overall scheme will be monitored closely and Members will be advised as soon it is prudent for this funding to be returned to the Regeneration Fund.

9.13 Section 106 Developers Contributions

- 9.14 The level of uncommitted funds as at 31st July 2017 was £0.849m. A table is attached at Appendix M showing that the amount brought forward from the

previous financial year was £0.847m, with a further amount of £10,500 being received in year. To date amounts transferred to scheme include £2,500 for Lynnfield Playground, £1,200 for Brougham Playground and £5,000 for Burbank Playground.

10 CONCLUSION

- 10.1 As reported to this Committee on 10th July 2017 there was a 2016/17 net General Fund budget overspend of £0.262m and this confirmed the increasing financial challenges facing the Council. In particular these pressures related to Adult Social Care services and Children's Services. These pressures are continuing to impact on the Council in 2017/18 and are also affecting the majority of councils with responsibility for these services.
- 10.2 At a national level the Government recognised the Adult Social Care pressures through a combination of the revised Adult Social Care precept arrangements for 2017/18 to 2019/20 and the announcement in the Chancellor's March 2017 budget of additional funding for Adult Social Care.
- 10.3 The additional Adult Social Care funding announced by the Chancellor's in the March 2017 budget is front loaded and only approximately £0.7m will be sustained until 2019/20. The sustainability of this funding beyond 2019/20 is uncertain and will depend on proposals the Government implements for the long term funding of Adult Social Care and the outcome of the Local Government Fair Funding review. Updates will be reported to future meetings when more information is issued by the Government.
- 10.4 As reported previously the Government has not identified any additional funding to address Children's Services pressures. The LGA has recently indicated that there will be a £2 billion Children's Services funding gap by 2020.
- 10.5 The service pressures impacting on Children's Services in 2016/17 are continuing in 2017/18. The MTFS anticipated these additional costs and earmarked one-off resources to support this area in 2017/18 and 2018/19. This strategy is designed to provide a longer lead time to hopefully reduce demand, or for the Government to recognise the significant financial pressures facing Children's Services by providing additional funding.
- 10.6 As detailed in Section 5 a 2017/18 General Fund revenue budget over spend of between £0.420m and £0.920m is forecast. This mainly reflects Children's Services pressures and potential Regeneration and Neighbourhoods income shortfalls. To address the forecast deficit the following options are being explored and further details will be reported to a future meeting:
 - identify 'discretionary spending' which can be stopped, or delayed;
 - reserves review to potentially release one off funding;
 - capitalise existing revenue spending.
- 10.7 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 2017 Council Tax collection levels

are stable at 27.73% and that business rates collection at 28.93% was slightly down on this stage last year. It is anticipated that robust recovery action pursued over the remainder of the financial year will ensure in-year collection targets are achieved.

- 10.8 The position in relation to achieving the capital receipts targets continues to be monitored closely. The proposed sale of land at Hart is anticipated to be the largest capital receipt to be achieved over the next three years (i.e. 2017/18 to 2019/20) and will be received in installments over the period 2018/19 to 2020/21. Therefore there will continue to be a reliance on prudential borrowing until these monies are received. As it is not anticipated that there will be any significant increase in the Bank of England Base Rate, the cost of using prudential borrowing will be marginal. These additional costs can be accommodated from within the overall centralised estimates budget.

11. RECOMMENDATIONS

- 11.1 It is recommended that Members:

- i) Note the report.
- ii) Note the forecast 2017/18 General Fund Revenue budget overspend of between £0.420m and £0.920m and to note that details of the options being explored to address the forecast overspend as detailed in paragraph 5.11, will be reported to a future meeting.
- iii) Approve the latest budget for the ISQ programme as set out in paragraphs 9.6 to 9.12 and approve the proposal to earmark the £0.300m Council funding now available as a contingency on the overall ISQ programme until potential financial risks of delivering the scheme have been eliminated, as set out in paragraph 9.11.
- iv) Note that progress on the delivery of overall scheme will be monitored closely and Members will be advised as soon as it is prudent for this funding to be returned to the Regeneration Fund.

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 2017/18.

13. BACKGROUND PAPERS

Medium Term Financial Strategy 2017/18 to 2019/20 report to Finance and Policy Committee 31.10.16.

Medium Term Financial Strategy 2017/18 to 2019/20 report to Finance and Policy Committee 09.01.17.

14. CONTACT OFFICER

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Table 1 - Forecast Outturn 2017/18

2016/17 Outturn £'000		Latest Forecast	
		Worst Case - Overspend/ (Underspend) £'000	Best Case - Overspend/ (Underspend) £'000
	Departmental Budgets		
(466)	Chief Executive's Dept	(200)	(200)
1,328	Child and Adult Services	950	950
218	Public Health	0	0
(45)	Regeneration and Neighbourhoods	500	0
	Ring Fenced Departmental reserves as detailed in Table 2	170	170
1,035	Sub Total - Departmental Budgets	1,420	920
	Non Departmental issues		
(2,575)	Corporate Budgets	(500)	(500)
1,860	Allocated to fund one off priorities to be determined as part of MTFS	0	0
(715)	Sub Total - Corporate Budgets	(500)	(500)
(58)	Uncommitted 2015/16 Outturn	0	0
262	Net Overspend	920	420

Table 2 - Recommended Contributions to Reserves

	Latest Forecast	
	Worst Case	Best Case
	£'000	£'000
Ring-fenced Grant Reserves		
Public Health Grant - the worst case underspent has increased by £215,000 and the best case underspend has increased by £260,000 since the contribution to reserves recommended in the previous Strategic Financial Management Report. Any underspending of this grant is required to be transferred into a ringfenced reserve in line with the grant conditions.	70	70
Fraud and Error Reduction Incentive Scheme (FERIS), to be earmarked to address 2018-19 DWP Housing Administration grant cuts to mitigate impacts on benefit service standards.	100	100
TOTAL	170	170

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2017/18 as at 31st July, 2017

Approved 2017/2018 Budget £'000	Description of Service Area	July		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				
(163)	Benefits	(100)	(100)	Finance and Policy Committee on 30th January, 2015 approved a favourable variance on Fraud and Error Reduction Incentive Scheme (FERIS), be earmarked to address 2016-17 DWP Housing Administration grant cuts to mitigate impacts on benefit service standards. There has been a further £100k FERIS grant received in 2017-18, which is also requested be earmarked for the same purpose but to address cuts in 2018-19.
(903)	Central Administration Recharges	0	0	
35	Civic Attendants	0	0	
985	Corporate Finance	(20)	(20)	The favourable variance is owing to vacant posts and some posts not being at the top of the grade.
626	Corporate Strategy & Public Consultation	7	7	The adverse variance is owing to reduced income generation on the corporate website.
(143)	Housing Benefits Subsidy	0	0	
195	Democratic	0	0	
77	Fraud	(10)	(10)	The favourable variance is owing to supplies and services savings.
895	Customer and Support Services	0	0	
505	Human Resources & Health and Safety	0	0	
226	Internal Audit	0	0	
421	Legal Services	0	0	
202	Municipal Elections and Registration of Electors	(50)	(50)	A favourable variance is anticipated.
(83)	Other Office Services	0	0	An adverse variance of £75k is expected owing to a slow down in Local Land Searches. This is owing to the number of companies using Environmental Information Regulations, this has been offset by the use of the corporate income risk reserve.
92	Procurement	0	0	
86	Public Relations	0	0	
(110)	Registration Services	0	0	
(44)	Reprographics	0	0	
898	Revenues	0	0	
(446)	Revenue & Benefits Central	0	0	
71	Scrutiny	0	0	
599	Shared Services	(10)	(10)	The favourable variance is owing to a software maintenance saving.
124	Support to Members	0	0	
16	Training & Equality	0	0	
332	Corporate Management Running Expenses	(17)	(17)	The favourable variance is owing to a post not being at the top of the grade and a reduction in corporate subscriptions.
4,493	Finance and Policy Committee Total (Before Creation of Reserves)	(200)	(200)	

CHIEF EXECUTIVES**6.4 Appendix B**

Approved 2017/2018 Budget £'000	Description of Service Area	Projected Outturn Variance - Adverse/ (Favourable) Worst Case £'000	Projected Outturn Variance - Adverse/ (Favourable) Best Case £'000	Director's Explanation of Variance
Creation of Reserves				
	FERIS Grant Project	100	100	Fraud and Error Reduction Incentive Scheme (FERIS), to be earmarked to address 2018-19 DWP Housing Administration grant cuts to mitigate impacts on benefit service standards.
4,493	Chief Executives Total - Net of Reserves	(100)	(100)	

PLANNED USE OF RESERVES

The above figures include the 2017/2018 approved budget along with the planned use of Departmental Reserves created in previous years.

The details below provide a breakdown of these reserves

Approved 2017/2018 Budget £'000	Description of Service Area	Planned Usage 2016/2017 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
Finance and Policy Committee				
91	Chief Executive's Department Ring Fenced Grants	91	0	Chief Executive Department Ring Fenced Grants including those created in 2016-17 to support the DWP Housing Administration Grant in 2017-18.
91	Total	91	0	

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2017/18 as at 31st July, 2017

Approved 2017/2018 Budget £'000	Description of Service Area	December		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	0	0	
3,201	Commissioning & Adults General	(60)	(60)	The forecast outturn includes an estimated 'one-off' £100k income from the review of Direct Payment contingencies.
1,758	Commissioning-Mental Health	50	50	Budget Pressures have previously been identified in this area.
9,842	Commissioning-Older People	150	150	Increased CCG income, the ending of a number of high cost packages and a review of the RAS/Direct Payments has allowed savings to partly offset the budgeted use of reserves to balance the budget. Planned demand management reductions will be closely monitored during the year and may not all be achieved until 2018/19.
8,074	Commissioning-Working Age Adult	80	80	A number of high cost packages have now ended resulting in savings being made from this area to partly offset the budgeted use of reserves required to balance the budget. Planned demand management reductions will be closely monitored during the year and may not all be achieved until 2018/19.
205	Complaints & Public Information	0	0	
325	Departmental Running Costs	(20)	(20)	
725	Direct Care & Support Team	(180)	(180)	This is the result of vacant hours and posts across both Telecare and Direct Care & Support. All vacant posts/hours are currently (or have already been) recruited to.
425	LD & Transition Social Work	(20)	(20)	
2,538	Locality & Safeguarding Teams	(100)	(100)	The forecast outturn position reflects a number of social worker vacancies which have recently been filled or are in the process of being filled and incremental drift arising from an increase in the number of newly qualified social workers being employed at the bottom of the scale. This area also incorporates the costs of DoLS which includes an overspend arising from unbudgeted costs from the High Court Judgement.
727	Mental Health Services	(17)	(17)	
439	OT & Disability Equipment	40	40	Current usage and expenditure is higher than budgeted.
266	Workforce Planning & Dev	0	0	
1,169	Working Age Adult Day Services	(30)	(30)	
(125)	Departmental Reserves required to fund shortfall in 2016/17 savings.	107	107	Budgeted figure was £725k however demand management savings have been made during the year which has reduced the anticipated use of this reserve to £125k. The position will continue to be reviewed as the year progresses, and savings proposals are included within the 2018/19 budget to manage the shortfall.
29,569	Adult Committee Sub Total (after release of reserves)	0	0	

CHILD & ADULT SERVICES

6.4 Appendix C

Approved 2017/2018 Budget £'000	Description of Service Area	Projected Outturn Variance - Adverse/ (Favourable) Worst Case £'000	Projected Outturn Variance - Adverse/ (Favourable) Best Case £'000	Director's Explanation of Variance
Children's Committee				
12,907	Children & Families	1,200	1,200	The budget was set on the basis of requiring £1.4m from reserves in order to balance the budget. The pressures were mainly within Looked After Children and as outlined in previous Reports the department are continuing with the demand reduction policies to reduce costs back down to the level of the recurring budget. However, as these will take time to implement and gain traction departmental reserves were identified. The projected overspend has significantly increased since the budget was set and this is reflected in the projected outturn position. LAC numbers have continued to increase across both in-house and high-cost Residential placements and this accounts for the main reason for the increased overspend.
2,890	Early Intervention Services	(270)	(270)	This reflects a combination of 'one-off' savings arising from staff vacancies, incremental drift and in-year grant funding, 2018/19 savings achieved in advance and forecast under spends across a range of Early Help non-pay budgets. However, it is early in the year so expenditure may increase as the year progresses.
5	Play & Care	20	20	Historic shortfall in income - charges have been increased and will be closely monitored throughout the remainder of the year.
296	Youth Offending Service	0	0	
127	Access to Education	0	0	
120	Central Support Services	0	0	
512	Other School Related Expenditure	0	0	
544	Raising Educational Achievement	0	0	
247	Special Educational Needs	0	0	
158	Strategic Management	0	0	
0	Release of Reserves to Education Shortfalls	0	0	
17,806	Children's Committee Sub Total	950	950	
(1,400)	Departmental Reserves required to fund budget pressures	0	0	Budgeted use of reserves to help fund LAC pressures.
16,406	Children's Committee Sub Total (after release of reserves)	0	0	
45,975	Child and Adult Total - (before Creation of Reserves)	950	950	

CHILD & ADULT SERVICES
PLANNED USE OF RESERVES

6.4 Appendix C

The above figures include the 2017/2018 approved budget along with the planned use of Departmental Reserves created in previous years.
The details below provide a breakdown of these reserves

Approved 2017/2018 Budget £'000	Description of Service Area	Planned Usage 2017/2018 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
Adult Committee				
100	Agency - Mental Health	0	(100)	Reserve not required as budget virements made during year as part of demand management review.
125	Departmental Reserves to Fund 16/17 Savings Shortfall	18	(107)	Demand management savings and review of existing budgets has reduced the demand on this reserve in 2017/18; it is anticipated further savings will be achieved over the next couple of years to eliminate the requirement to use this reserve to balance the budget.
55	Demand Management - Adults (Modern Apprentices)	55	0	
140	Deprivation of Liberty Safeguards (DoLS)	0	(140)	DoLS to be funded from overall outturn to protect the value of the reserve
51	BCF Project Management	0	(51)	Post deleted from structure. The demand management reserve will be carried forward into 2018/19 to support the budget.
31	Care Bill Implementation	31	0	
502	Adult Committee Sub Total	104	(398)	
Children's Committee				
105	Early Intervention Reserve	105	0	This reserve is required in 2017/18 to fund additional Social Work posts however permanent funding has been included in the 2018/19 budget.
51	Children's Hub	0	(51)	External funding has now been secured and the reserve will be carried forward into 2018/19 to support the
43	Youth Justice Reserve	0	(43)	Following the introduction of the new staffing structure it is anticipated that this contribution will not be required. The reserve is ring-fenced and will be used to support the Youth Justice budget against future grant cuts.
38	Wellbeing Fund	38	0	
27	Data Team	27	0	
45	SEND Team	45	0	
80	Education Commission	80	0	
167	Transforming Tees	167	0	
556	Children's Committee Sub Total	462	(94)	

MEMO:-	Dedicated Schools Grant			
5,207	Early Years	59	(4)	2 year old funding is forecast to overspend as take up is higher than the funding received. There is also uncertainty relating to the take up of the new 30hr per week provision for eligible 3/4 year olds from September
8,331	High Needs	0	0	A funding strategy is being developed to manage this demand led budget .Any in year overspend will be funded from reserves.
34,632	Schools	17	17	The Schools block is forecast to overspend, this is owing to the ongoing increase of license costs.

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2017/18 as at 31st July, 2017

Approved 2017/2018 Budget £'000	Description of Service Area	July		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		0	0	
2,016	Childrens Public Health	0	0	An adverse variance on the 0-19 Services will be funded from Public Health Grant Reserves in 2017/18.
92	Health Check Programme	0	0	
	Health Protection	0	0	
722	Misc Public Health Services	0	0	
101	Obesity	5	5	Adverse variance relates to staffing costs.
173	Physical Activity	0	0	
156	Prescribing	0	0	
863	Public Health Advice	0	0	
636	Sexual Health	0	0	
253	Smoking & Tobacco	0	0	
2,531	Substance Misuse	(95)	(95)	Potential efficiencies following the transfer of the service in-house.
(7,543)	Public Health Main Grant	0	0	
0	Public Health Grant Subtotal	(90)	(90)	
Public Health General Fund				
640	Consumer Services	0	0	Expected to be on budget at this stage.
640	Public Health General Fund Subtotal	0	0	
640	Finance and Policy Committee Sub Total	(90)	(90)	
Regeneration Committee				
Public Health General Fund				
(3)	Environmental Protection	0	0	Expected to be on budget at this stage.
(34)	Environmental Standards	0	0	Expected to be on budget at this stage.
475	Sport, Leisure & Recreation Facilities	70	70	Any adverse variance on Sports & Recreation will be funded by the Public Health Grant in 2017/18. The adverse variance reported mainly relates to the Borough Hall which is expected to be between £50k and £60k by the end of the year. This relates to a shortfall in income and increased staffing costs. The worst case estimate also assumes a shortfall in income of £10k by the end of the year at Carlton Outdoor Activity Centre.
438	Public Health General Fund Subtotal	70	70	
438	Regeneration Committee Sub Total	70	70	
1,078	Public Health Total - before Reserves	(20)	(20)	
Creation of Reserves				
	Public Health Ring fenced Grant	90	90	The Public Health Grant is ring fenced and any underspend will be transferred into a ringfenced reserve in line with the grant conditions.
1,078	Public Health Total - Net of Reserves	70	70	

PLANNED USE OF RESERVES

The above figures include the 2017/2018 approved budget along with the planned use of Departmental Reserves created in previous years.
 The details below provide a breakdown of these reserves

Approved 2017/2018 Budget £'000	Description of Service Area	Planned Usage 2017/2018 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
Regeneration Committee				
49	PCT Reserve - Public Health/ Sport initiative	0	(49)	
127	PCT Reserve - Employee Wellbeing Strategy	86	(41)	
518	Drugs Action Team Reserve - Tier 4 Support	250	(268)	
1,366	Public Health Grant	1,134	(232)	
15	Sport and Recreation Reserve	10	(5)	
2,075	Total	1,480	(595)	

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2017/18 as at 31st July, 2017

Approved 2017/2018 Budget £'000	Description of Service Area	July		Director's Explanation of Variance
		Projected Outturn Variance - Adverse/ (Favourable) Worst Case £'000	Projected Outturn Variance - Adverse/ (Favourable) Best Case £'000	
Finance & Policy Committee				
969	Community Safety & Engagement	0	0	Expected to be on budget at this stage.
236	Strategic Management, Admin & Service Development	0	0	Expected to be on budget at this stage.
(142)	Logistics	0	0	Expected to be on budget at this stage.
329	Estates & Asset Management	0	0	Expected to be on budget at this stage.
(833)	Building Consultancy	250	150	The worst case estimate is in line with last years position. A review of this area is underway to evaluate the fee earning capacity.
593	Facilities Management - Building Cleaning	40	20	Adverse variance relates to a shortfall in income. A pricing review is underway to ensure the account breaks even going forward.
98	Facilities Management - Building Maintenance	0	0	Expected to be on budget at this stage.
0	Facilities Management - Functions Catering/Garden Centre	25	20	It is very early to predict the performance on Trading activity however the adverse variance relates to a deficit projected at the Garden Centre, based on the position reported in previous years. This area is under review and the position will be updated when the future of the site has been considered in more detail.
159	Facilities Management - Other - Security & Public Cons	0	0	
48	Facilities Management - School Catering	0	0	Any favourable variance in this area will be transferred to Capital to support the investment required in School Kitchens.
1,457	Finance & Policy Committee Sub Total	315	190	
Regeneration Committee				
(50)	Adult Education	0	0	Expected to be on budget at this stage.
20	Archaeology	0	0	Expected to be on budget at this stage.
31	Community Centres	0	0	Expected to be on budget at this stage.
637	Cultural Services	35	35	The adverse variance relates to a shortfall in income and some one-off costs associated with events.
949	Libraries	0	0	Expected to be on budget at this stage.
72	Building Control	40	0	It is difficult to predict the outturn for this area at quarter one however there is a risk that there could be a shortfall in income at year end.
199	Planning Services	100	(100)	It is difficult to predict the outturn at this stage as approximately 80% of the fee income comes from large scale projects and the timing of these applications is difficult to predict so early in the year. The range reflects the uncertainty at Quarter 1 surrounding the timing of this income.
0	Council Housing	0	0	Expected to be on budget at this stage.
472	Housing Services	0	0	Any income in advance received as part of the Selective Licensing scheme will be carried forward to support the cost of running the scheme over years.
612	Economic Regeneration	0	0	Expected to be on budget at this stage.
(107)	Economic Regeneration - External Funding	110	100	The adverse variance relates to a shortfall in income. Plans to generate general fund savings from Grant income have not been possible owing to changes in the Grant Regimes now available and this income pressure has therefore been factored into the 2018/19 savings proposals currently being prepared.
243	Heritage & Countryside	0	0	Expected to be on budget at this stage.
3,078	Regeneration Committee Sub Total	285	35	

REGENERATION AND NEIGHBOURHOODS
6.4 Appendix E

Approved 2017/2018 Budget £'000	Description of Service Area	Projected Outturn Variance - Adverse/ (Favourable) Worst Case £'000	Projected Outturn Variance - Adverse/ (Favourable) Best Case £'000	Director's Explanation of Variance
Neighbourhood Committee				
(407)	Cemetery and Crematoria	0	0	Expected to be on budget at this stage.
270	Parks, Open Spaces & Beach Safety	10	10	The adverse variance relates to additional maintenance costs associated with Children's playgrounds.
31	Allotments	0	0	Expected to be on budget at this stage.
(501)	Car Parking & Enforcement	0	0	Expected to be on budget at this stage.
401	Engineering Services (incl Coastal Protection and Contaminated Land)	0	0	Expected to be on budget at this stage.
1,548	Grounds Maintenance	0	0	Expected to be on budget at this stage.
1,995	Highway Maintenance & Insurance	0	0	Expected to be on budget at this stage.
(292)	Highways Trading	0	0	Expected to be on budget at this stage.
431	Highways Traffic & Transp Management	0	0	Expected to be on budget at this stage.
1,385	Passenger Transport	(110)	(170)	The favourable Variance relates to the Home to School Transport budget. This is a demand led service and forecasts will need to be refined in October based on the requirements in the new Academic Year.
130	Road Safety	0	0	Expected to be on budget at this stage.
(177)	Vehicle Fleet	(120)	(165)	The favourable variance relates to temporary savings on vehicle borrowing costs as vehicles are kept for longer. The review of vehicles may result in some vehicles being withdrawn and others financed over a longer period and the permanent savings associated with these changes have been factored into the Departments future savings programme.
(1)	NDORS (National Driver Offender Rehabilitation) Scheme	0	0	Expected to be on budget at this stage.
1,191	Network Infrastructure	(20)	(20)	The favourable variance relates to an underspend on Energy costs associated with Street Lighting following the LED replacement programme. Additional savings have been included in 2018/19 to reflect this position.
0	Section 38's	0	0	Expected to be on budget at this stage.
(1)	Traffic Management	0	0	Expected to be on budget at this stage.
2,427	Sustainable Transport	(30)	(30)	Favourable variance reflects the negotiated position for Concessionary Fares which is less than the agreed budget in 2017/18. Additional savings have been included in 2018/19 to reflect this position.
1,431	Street Cleansing	0	0	Expected to be on budget at this stage.
4,923	Waste & Environmental Services	170	150	The adverse variance reflects various budget pressures facing this service including changes at the Household Waste Recycling Centre. These pressures have been factored into the 2018/19 savings proposals currently being prepared.
14,784	Neighbourhood Committee Sub Total	(100)	(225)	
19,319	Regeneration & Neighbourhoods Total before reserves	500	0	
Creation of Reserves				
19,319	Regeneration and Neighbourhoods Total - Net of Reserves	500	0	

REGENERATION AND NEIGHBOURHOODS
PLANNED USE OF RESERVES

The above figures include the 2017/2018 approved budget along with the planned use of Departmental Reserves created in previous years.
The details below provide a breakdown of these reserves

Approved 2017/2018 Budget £'000	Description of Service Area	Planned Usage 2016/2017 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
Finance & Policy Committee				
55	Civic Lottery - Ward Member Budgets	55	0	
42	Community Safety Specific Grants	42	0	
Regeneration Committee				
134	Adult Education	134	0	
186	Local Plan	186	0	
250	Economic Regeneration Schemes	250	0	
30	Libraries	30	0	
3	Archaeology	3	0	
5	Works in Default - Empty Properties	5	0	
176	National Museum of the Royal Navy Hartlepool	176	0	
41	Selective Licensing/Housing	41	0	
Neighbourhood Committee				
30	Environmental Apprentices	30	0	
50	Fleet	50	0	
40	Flood Prevention Reserve	40	0	
50	Winter maintenance	50	0	
38	Concessionary Fares	38	0	
15	Bikeability	15	0	
16	Speed Cameras	16	0	
149	Environmental Enhancements	149	0	
1,310	Total	1,310	0	

HOUSING REVENUE ACCOUNT

6.4 Appendix F

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2017/18 as at 31st July, 2017

	Budget	Projected Outturn	Projected Outturn Variance	Director's Explanation of Variance
	£'000	£'000	£'000	
Income				
Dwelling Rents	(1,080)	(988)	92	Higher level of Voids
Charges for services and facilities	(2)	(2)	0	
Other Income	(12)	(41)	(29)	Higher level of PV cells income
Income sub total	(1,094)	(1,031)	63	
Expenditure				
Repairs and maintenance	101	175	74	Higher repairs and inspection costs mainly owing to high level of voids
Supervision and management	245	249	4	
Rents, rates, taxes and other charges	15	20	5	
Increase in provision for bad or doubtful debts	30	30	0	
Depreciation of fixed assets (Major Repairs Allowance)	258	258	0	
Debt Management	10	8	(2)	
Expenditure sub total	659	740	81	
Net cost of services	(435)	(291)	144	
Interest payable	355	348	(7)	
HRA investment income	(6)	(8)	(2)	
HRA Operating (Surplus) / Deficit for the year	(86)	49	135	
Movement on the HRA Reserve				
HRA Reserve Opening Balance	(530)	(538)	(8)	The opening balance has changed as when the budget was set the surplus for 2016/17 was not expected
(Surplus)/Deficit for the year	(86)	49	135	
HRA Reserve Closing Balance	(616)	(489)	127	

CAPITAL MONITORING REPORT PERIOD ENDING 31ST JULY 2017

Project Code	Scheme Title	BUDGET		EXPENDITURE IN CURRENT YEAR					Type of Financing	2017/18 COMMENTS
		A	B	C	D	E	F	G		
		2017/18 and Future Years Budget £'000	2017/18 Budget £'000	2017/18 Actual 31/07/2017 £'000	2017/18 Expenditure Remaining £'000	Expenditure Rephased into 2018/19 £'000	(C+D+E) 2017/18 Total Expenditure £'000	(F-B) 2017/18 Variance from Budget £'000		
Adult Committee										
7234	Chronically Sick and Disabled Persons Adaptations	297	297	0	297	0	297	0	MIX	
8108	Centre for Independent Living - New Build	213	213	9	204	0	213	0	MIX	Actual spend relates to landscaping work.
Adult Committee Sub Total		510	510	9	501	0	510	0		
Children's Committee										
8072 & 8218	Children's Centre's Capital	44	44	0	44	0	44	0	MIX	This budget is the residual funding from two projects that were completed in 2010/11 - Youth Service Portable MUGA project and ICS Case Management Improvement project. There are no restrictions on this residual funding in the grant terms and conditions. There are no current proposals to spend this money so it has been allocated as a 'contingency' against potential future need.
8587	Brougham Primary School - Air Handling Unit Replacement	36	36	0	36	0	36	0	GRANT	
7388	Clavering Primary - Electrical Rewire	135	135	18	117	0	135	0	GRANT	
7387	Clavering Primary - KS2 Remodelling and Hall Expansion	324	324	15	309	0	324	0		
8907	Clavering Primary - Roof Replacement	32	32	0	32	0	32	0	GRANT	
7384	Devolved Schools Capital	354	354	0	354	0	354	0	GRANT	
7425	Eldon Grove Primary School - Increase Fence Line	26	26	0	26	0	26	0	RCCO	
8948	Eldon Grove Primary School - Dining Room Extension	231	231	25	206	0	231	0	RCCO	
7390	Fens Primary School - Heating Distribution (Phase 3 of 3)	70	70	0	70	0	70	0		
7391	Fens Primary School - Resurfacing	35	35	3	32	0	35	0	GRANT	
8947	Fens Primary School - Heating Distribution (Phase 2 of 3)	9	9	0	9	0	9	0	GRANT	Scheme Complete - Awaiting Final Account
7393	Golden Flatts Primary School - Electrical Rewire	95	95	10	85	0	95	0	GRANT	
8947	Golden Flatts Primary School - Heating Distribution	24	24	0	24	0	24	0	GRANT	Scheme Complete - Awaiting Final Account
8907	Golden Flatts Primary School - Roofing Replacement	40	40	2	38	0	40	0	GRANT	
8906	Grange Primary School - Window Replacement	25	25	0	25	0	25	0	GRANT	
8907	Grange Primary School Roofing Replacement	60	60	0	60	0	60	0	GRANT	
8457	Grange Primary School - Boiler Renewal	68	68	12	56	0	68	0	GRANT	
7394	Hart Primary School - SEND Adaptations	25	25	0	25	0	25	0	GRANT	
8718	High Tunstall School - Demolish Two Mobile Units	28	28	2	26	0	28	0	GRANT	
7396	High Tunstall School - Roofing - Block D	300	300	0	300	0	300	0	GRANT	
7392	High Tunstall School - Toilet Refurbishment - Block D	15	15	0	15	0	15	0	GRANT	On hold pending the new build specification.
8906	High Tunstall School - Window Replacement - Block D	140	140	0	140	0	140	0		On hold pending the new build specification.
8547	Lynnfield School - Boiler Renewal	63	63	0	63	0	63	0	GRANT	
7392	Lynnfield School - Toilet Refurbishment	60	60	0	60	0	60	0	GRANT	
8604	Pupil Referral Unit - Replacement Doorsets with Security Doors	1	1		1	0	1	0	MIX	Scheme Complete - Awaiting Final Account
7586	Purchase of Computer Equipment - City Learning Centre	4	4	0	4	0	4	0	RCCO	
8947	Rift House Primary School - Heating Distribution (1 of 2)	55	55	6	49	0	55	0	GRANT	
8907	Rift House Primary School - Roofing Replacement	58	58	0	58	0	58	0	GRANT	
8891	Rift House Primary School - Classroom Extension	578	578	187	391	0	578	0	MIX	
8906	Rift House Childrens Centre - Window Replacement	32	32	0	32	0	32	0	GRANT	
71477	Rift House - Fire Damage	42	42	42	0	0	42	0		This scheme is part of the overall rebuild following the extensive fire damage.
7392	Rossmere Primary School - Toilet Refurbishment	6	6	0	6	0	6	0	GRANT	
8906	Rossmere Primary School - Window Replacement	25	25	0	25	0	25	0	GRANT	

CAPITAL MONITORING REPORT PERIOD ENDING 31ST JULY 2017

Project Code	Scheme Title	BUDGET		EXPENDITURE IN CURRENT YEAR					Type of Financing	2017/18 COMMENTS
		A	B	C	D	E	F	G		
		2017/18 and Future Years Budget £'000	2017/18 Budget £'000	2017/18 Actual 31/07/2017 £'000	2017/18 Expenditure Remaining £'000	Expenditure Rephased into 2018/19 £'000	(C+D+E) 2017/18 Total Expenditure £'000	(F-B) 2017/18 Variance from Budget £'000		
7421	School Travel Plans	2	2	0	2	0	2	0	GRANT	
8138	Schools General - BSF - ICT	53	53	1	52	0	53	0	GRANT	
9004	Schools General - Contingency	150	150	0	150	0	150	0	GRANT	
9004	Schools General - Funding Currently Unallocated	144	144	0	144	0	144	0	MIX	
9004	Schools General - RCCO Earmarked for Asbestos Surveys	1	1	1	0	0	1	0	RCCO	
9004	Schools General - Suitability RCCO Unallocated	758	758	0	758	0	758	0	RCCO	
9004	Schools General - Basic Need	1,803	1,803	0	1,803	0	1,803	0	GRANT	
8788	Schools General - Universal Free School Meals	43	43	0	43	0	43	0	GRANT	
7397	Springwell Primary School - Mechanical Air Handling Units	19	19	4	15	0	19	0	GRANT	
8590	Springwell Primary School - Electrical Distribution System	39	39	0	39	0	39	0	GRANT	Scheme Complete - Awaiting Final Account
7419	Springwell Primary School - Conservatory Conversion	36	36	2	34	0	36	0	RCCO	
7422	St Cuthbert's Primary School - Mobile Unit Toilet Extension	88	88	0	88	0	88	0	RCCO	
7392	St Helen's Primary School - Toilet Refurbishment (KS2)	55	55	5	50	0	55	0	GRANT	
7423	Sacred Heart Primary School - Car Parking Extension	12	12	0	12	0	12	0	RCCO	
7420	Stranton Primary School - Access Road and Pathways	19	19	0	19	0	19	0	RCCO	
7423	Stranton Primary School - Car Parking Extension	107	107	7	100	0	107	0	RCCO	
8907	Throston Primary School - Roofing (Phase 1 of 2)	75	75	6	69	0	75	0	GRANT	
TBC	Throston Primary School - Convector Fan Renewal	10	10	0	10	0	10	0	GRANT	
7521	Two year old Free Nursery Entitlement Capacity Building	23	23	0	23	0	23	0	GRANT	
8950	West Park Primary School - Rectify Sound Issues to Extension	2	2	0	2	0	2	0	RCCO	
7386	West Park - Early Years Extension	157	157	1	156	0	157	0	GRANT	
8653	West View Primary School - Early Years Foundation Stage Improvements	148	148	1	147	0	148	0	RCCO	
Children's Committee Sub Total		6,784	6,784	350	6,434	0	6,784	0		
Child & Adult Services Total		7,294	7,294	359	6,935	0	7,294	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**CAPITAL MONITORING REPORT PERIOD ENDING 31ST JULY 2017**

Project Code	A	BUDGET		EXPENDITURE IN CURRENT YEAR						2017/18 COMMENTS
	Scheme Title	A	B	C	D	E	F	G	H	
		2017/18 and Future Years Budget £'000	2017/18 Budget £'000	2017/18 Actual 31/07/2017 £'000	2017/18 Expenditure Remaining £'000	Expenditure Rephasd into 2018/19 £'000	C+D+E 2017/18 Total Expenditure £'000	F-B 2017/18 Variance from budget £'000	Type of financing	
Finance & Policy Committee										
8710	Drug & Alcohol Recovery Centre	30	30	3	27	0	30	0	GRANT	Renovation work is underway
8946	Stepping Stones Grant	142	142	23	119	0	142	0	GRANT	To purchase a new building for use by 'Addaction'
8088	Community Hub - South	119	119	3	116	0	119	0	CORP	Renovation work is underway to create Hub
8088	Community Hub - Central	68	68	18	50	0	68	0	CORP	Renovation work is underway to create Hub
8098	Community Hub - North	80	80	8	72	0	80	0	CORP	Renovation work is underway to create Hub
	Finance & Policy Committee Sub Total	439	439	55	384	0	439	0		
Regeneration Committee										
8103	Swimming Scheme	45	0	0	0	0	0	0	MIX	This is to cover future equipment replacement and any major repairs that arise. Non are currently planned this year.
7992	Junior Football Pitches	26	26	0	26	0	26	0	MIX	To be used for future match funding.
8408	Mill House - Equipment Purchase	5	5	2	3	0	5	0	MIX	Used to fund Equipment replacement when required.
8689	Brierton Sports Fields	55	55	1	54	0	55	0	MIX	Scheme is ongoing and expected to be completed within budget.
8016	Summerhill Multi User Route	2	2	0	2	0	2	0	GRANT	Funded from Section 106
8409	Sport & Youth Improvements	12	12	0	12	0	12	0	MIX	To be used as match funding in future grant bid for work required at Carlton
8964	Brierton Sports Hall Techno Gym	1	1	0	1	0	1	0	GRANT	Used to fund equipment purchase/replacement when required.
8896	Brierton Tennis Courts	30	0	0	0	0	0	0	CAP REC	Awaiting finalisation of the Sports facilities strategy for Brierton.
	Regeneration Committee Sub Total	176	101	3	98	0	101	0		
	Public Health Services Total	615	540	58	482	0	540	0		

Key

RCCO Revenue Contribution towards Capital
MIX Combination of Funding Types
UCPB Unsupported Corporate Prudential Borrowing

GRANT
CAP REC
UDPB

Grant Funded
Capital Receipt
Unsupported Departmental Prudential Borrowing

REGENERATION & NEIGHBOURHOOD SERVICES**CAPITAL MONITORING REPORT PERIOD ENDING 31st JULY 2017**

Project Code	Scheme Title	BUDGET		EXPENDITURE IN CURRENT YEAR					Type of Financing	2017/18 COMMENTS	
		A	B		C	D	E	F			G
		2017/18 and Future Years Budget £'000	2017/18 Budget £'000		2017/18 Actual as at 31/07/17 £'000	2017/18 Expenditure Remaining £'000	Expenditure Rephased into 2018/19 £'000	(C+D+E) 2017/18 Total Expenditure £'000			(F-B) 2017/18 Variance from Budget £'000
Finance & Policy Committee											
8306	School Catering Equipment	353	100		0	100	0	100	0	RCCO	Amounts set aside from the revenue budget to meet the capital cost of kitchen equipment replacement.
8793	Brierton Site Development	20	20		0	20	0	20	0	MIX	Residual costs to be finalised.
Finance & Policy Committee Sub Total		373	120		0	120	0	120	0		
Regeneration Committee											
7218	Housing - Disabled Facility Grants	1,262	1,262		155	1,107	0	1,262	0	MIX	At this stage we are aiming to spend the full budget but there is a risk that this could be limited by the capacity of the internal team and local contractors to deliver.
7220	Housing - Private Sector Grants	41	41		0	41	0	41	0	GRANT	Although the recurring funding for this budget ended in 2010/11, the remaining balance has been used for 'home plus' grants for essential repairs/works to enable vulnerable owner occupiers to remain in their homes. There may be additional refunds received in year which will increased the available budget resulting in rephased funding to be used next year.
8106	Housing - Former RTBs	104	0		0	0	0	0	0	GRANT	Former RTBs set aside to be considered for as part of future housing development proposals.
8155	Housing - Preventing Repossession	12	12		6	6	0	12	0	GRANT	Demand led budget, expected to be spent this year.
8795	Housing - Empty Home Phase 2	2,049	2,049		144	1,450	455	2,049	0	MIX	At this stage we are expecting to defer approx 7 acquisitions into the next financial year. Discussions are being held with the Homes & Communities Agency (HCA) to increase the grant funding to convert some acquisitions to new builds.
8605	Housing - North Central Hartlepool Housing Regeneration	669	669		0	669	0	669	0	CAP REC	The remaining budget of this scheme has been earmarked to contribute towards the development undertaken by Place First.
7530	Developers Contributions (Section 106)	836	0		0	0	0	0	0	GRANT	Relates to amounts received and earmarked for purposes specified in developer agreements, but not yet transferred to a budget. Details are set out in Appendix M
8956	ISQ - Church Square	1,638	1,445		25	1,420	0	1,445	0	GRANT	Refer to section in main report
8901	ISQ - Workspace	3,229	2,135		3	2,132	0	2,135	0	GRANT	Refer to section in main report
7043	ISQ Church Street Public Realm	2,095	1,796		4	1,792	0	1,796	0	MIX	Refer to section in main report
7048	ISQ Stockton Street Connectivity	1,127	40		5	35	0	40	0	MIX	Refer to section in main report
7238	Museums Exhibition Equipment	14	14		1	13	0	14	0	GRANT	Anticipated spend to budget.
AD	Adult Education - Replace IT	26	26		0	26	0	26	0	GRANT	Awaiting system upgrade. Anticipated to spend in current year.
Regeneration Committee Sub Total		13,102	9,489		343	8,691	455	9,489	0		
7272	Wheelie Bin Purchases	90	90		33	57	0	90	0	UDPB	The annual budget for new wheelie bins.
7466	DSO Vehicle Purchases	1,604	1,604		39	565	1,000	1,604	0	UDPB	Replacement of vehicles has been kept to the minimum possible while services are reviewed.
7878	Community Safety CCTV Upgrade/Relocation	416	416		114	302	0	416	0	MIX	All works expected to be completed within budget in the current year.
CR	Crematorium Chapel refurbishment	320	33		0	33	0	33	0	RCCO	Essential works are required to the chapel.

REGENERATION & NEIGHBOURHOOD SERVICES**CAPITAL MONITORING REPORT PERIOD ENDING 31st JULY 2017**

Project Code	Scheme Title	BUDGET		EXPENDITURE IN CURRENT YEAR					Type of Financing	2017/18 COMMENTS
		A 2017/18 and Future Years Budget £'000	B 2017/18 Budget £'000	C 2017/18 Actual as at 31/07/17 £'000	D 2017/18 Expenditure Remaining £'000	E Expenditure Rephased into 2018/19 £'000	F (C+D+E) 2017/18 Total Expenditure £'000	G (F-B) 2017/18 Variance from Budget £'000		
Allot	Allotments Improvements	196	0	0	0	0	0	0	UDPB	The Neighbourhoods Committee at its meeting on 27th July 2016 approved for £100k to be rephased to fund relocation costs as a result of the future expansion of Stranton Cemetery. A second phase of the Allotments review is underway and is expected to report in 2017 on a proposed programme of works.
LTP	Local Transport Plan (LTP)- Schemes	2,798	2,798	483	2,065	250	2,798	0	GRANT	Consist of various highways schemes. Any rephased reflects the need to carry forward funding as a result of unforeseen delays. Anticipate full spend at this stage.
PLAY	Parks & Playgrounds	108	64	13	51	0	64	0	GRANT	This budget is for major works to ensure the safety of parks and playgrounds.
8897	Burn Road Recycling Centre Improvements	317	317	316	1	0	317	0	MIX	Scheme completed
7006	Seaton Carew Car Parking	13	13	0	13	0	13	0	RCCO	Anticipated spend to budget.
7243	Seaton Carew Car Parking P&D Scheme	96	96	96	0	0	96	0	UDPB	Scheme completed
7504	Seaton - Coastal Communities Fund Scheme	1,311	1,311	6	1,305	0	1,311	0	GRANT	Relates to Coastal Communities Schemes as detailed in the report to Regeneration Committee on 2nd December, 2016.
7900	EA - Hartlepool Marina - North Pier Study	30	30	0	30	0	30	0	GRANT	Ongoing study anticipate spend to budget
7903	EA - Hartlepool Drainage Scheme Study	60	60	0	60	0	60	0	GRANT	Ongoing study anticipate spend to budget
8954	LGF - A689 Cycleway Phase 1	91	91	91	0	0	91	0	GRANT	Grant funded by TVCA/LTP
8955	LGF - Access to Oakway	98	98	98	0	0	98	0	GRANT	Grant funded by TVCA/LTP
8957	Stranton Allotment Relocation	43	43	43	0	0	43	0	UDPB	Completion of scheme started in 16/17.
8958	Elwick By-Pass Growing Places	597	597	30	567	0	597	0	UDPB	Relates to Land purchase and survey work expected to be completed in year.
8965	TVCA Brenda Road Cycleways TV4	4	4	4	0	0	4	0	GRANT	Grant funded by TVCA
8591	Coast Protection - Headland Town & Block Sands	981	981	326	655	0	981	0	MIX	Ongoing scheme to upgrade key coastal structures on the Headland Walls and Block Sands as per Council report 21st July 2014.
8444	Coast Protection - Town Wall Strengthening	46	46	0	46	0	46	0	GRANT	Anticipated spend to budget.
8578	Coast Protection - South Management Unit Study	29	29	0	29	0	29	0	GRANT	Anticipated spend to budget.
Neighbourhoods Committee Sub Total		9,248	8,721	1,692	5,779	1,250	8,721	0		
Regeneration & Neighbourhoods Total		22,723	18,330	2,035	14,590	1,705	18,330	0		

Key

RCCO

Revenue Contribution towards Capital

MIX

Combination of Funding Types

UCPB

Unsupported Corporate Prudential Borrowing

GRANT

Grant Funded

CAP REC

Capital Receipt

UDPB

Unsupported Departmental Prudential Borrowing

CHIEF EXECUTIVES

6.4 APPENDIX K

CAPITAL MONITORING REPORT PERIOD ENDING 31ST JULY 2017

Project Code	Scheme Title	BUDGET		EXPENDITURE IN CURRENT YEAR					Type of Financing	2017/18 COMMENTS
		A	B	C	D	E	F	G		
		2017/18 and Future Years Budget £'000	2017/18 Budget £'000	2017/18 Actual as at 31/07/17 £'000	2017/18 Expenditure Remaining £'000	Expenditure Rephased into 2018/19 £'000	(C+D+E) 2017/18 Total Expenditure £'000	(F-B) 2017/18 Variance from Budget £'000		
Finance & Policy Committee										
7091	City challenge Clawback	213	213	0	213	0	213	0	Grant	This funding has been allocated towards 2017/18 MTFS reserve as approved by the Council on 23rd February 2017
7260	City Challenge Clawback - Burbank / Murray Street	83	83	0	83	0	83	0	RCCO	
7623	Corporate IT Projects	24	24	0	24	0	24	0	MIX	
8143	Tivoli Server	10	10	0	10	0	10	0	MIX	
8826	Civic Centre Remodel Reception Area	11	11	0	11	0	11	0	MIX	
8972	Print Room High Volume Colour Printer	37	37	0	37	0	37	0	UCPB	
	Point to Point Encryption	20	20	0	20	0	20	0	MIX	
	Corporate Projects	79	79	0	79	0	79	0	MIX	
Chief Executives Total		477	477	0	477	0	477	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

6.4 APPENDIX L

Project Code	Scheme Title	BUDGET		EXPENDITURE IN CURRENT YEAR					Type of Financing	2017/18 COMMENTS
		A	B	C	D	E	F	G		
		2017/18 and Future Years Budget £'000	2017/18 Budget £'000	2017/18 Actual as at 31/07/17 £'000	2017/18 Expenditure Remaining £'000	Expenditure Rephased into 2018/19 £'000	(C+D+E) 2017/18 Total Expenditure £'000	(F-B) 2017/18 Variance from Budget £'000		
Finance & Policy Committee										
7036	Unallocated Council Capital Fund	1,512	1,512	0	1,512	0	1,512	0	UCPB	
7039	Hartlepool Art Gallery Accessibility Works	19	19	0	19	0	19	0	CORP	Scheme completed 7-Jun-17. Final account to agree.
7041	Corporate Planned Maintenance Unallocated	153	153	0	153	0	153	0	MIX	
7087	Mill House Sports Hall Floor	13	13	0	13	0	13	0	RCCO	This scheme is due to start December 2017 prior to Christmas closure.
7098	8/9 Church Street Emergency Exits	7	7	0	7	0	7	0	CAP REC	Scheme to be agreed by Building Control.
7100	Mill House Gas Pipe Renewal	1	1	1	0	0	1	0		Scheme completed 3-Feb-17. Final account agreed & under-spend returned to CCF unallocated.
7101	Aueurin Bevan House Accessibility Works	20	20	0	20	0	20	0	CAP REC	Works scheduled for completion August 2017.
7101	Newburn Bridge - Pitched Roof Corrosion	3	3	3	0	0				Scheme has been cancelled. An investigation by a specialist contractor resulted in no significant works being identified, therefore this budget can be transferred back to CCF Unallocated.
7103	Newburn Bridge - Corroded Steel Lintels	1	1	1	0	0			CAP REC	Scheme completed 19-Apr-17. Final account agreed & under-spend returned to CCF unallocated.
7178	Mill House Pool Filter	23	23	0	23	0	23	0		Filters can be completed one at a time and do not require a closure of the pool. Programme to agree.
7200	Civic Centre Refurbishment	79	79	0	79	0	79	0	RCCO	Survey work complete. Progressing to design stage.
7472	Victory Square Improvements	13	13	1	12	0	13	0	MIX	
7589	Centre for Excellence Training and Learning Replace Heating Controls	45	45	0	45	0	45	0	CAP REC	Scheme ongoing
7617	Borough Hall Lighting and Wiring	40	40	0	40	0	40	0		Scheme is currently at design stage.
7634	Borough Hall - External Redecoration	4	4	0	4	0	4	0	CORP	Provisional programme to be agreed. Work will need to co-ordinated with proposed remedial works.
7889	Sir William Gray Roof Repair	30	30	0	30	0			RCCO	Work complete subject to inspection.
7911	Sir William Gray CCTV	6	6	0	6	0				Scheme completed 17-Jul-17. Final account to agree.
7994	Mill House Electrical Distribution Board Replacement	25	25	0	25	0	25	0	RCCO	Scheme completed 26-Jul-17. Final account to agree.
8051	Civic Centre Roof	54	54	41	13	0	54	0		First phase now complete. Second phase to start in September.
8055	Hartlepool Enterprise Centre Window Replacement	35	35	5	30	0	35	0	CAP REC	Scheme ongoing. Works to the main plant room on level one roof will be completed June 2017. Minor works to level 5 ongoing, this will be subject to access (seagull nesting).
8687	Jacksons Landing	0	0	0	0	0	0	0	CAP REC	Scheme progressing.

CAPITAL MONITORING REPORT PERIOD ENDING 31ST JULY 2017

Project Code	Scheme Title	BUDGET		EXPENDITURE IN CURRENT YEAR					Type of Financing	2017/18 COMMENTS
		A 2017/18 and Future Years Budget £'000	B 2017/18 Budget £'000	C 2017/18 Actual as at 31/07/17 £'000	D 2017/18 Expenditure Remaining £'000	E Expenditure Rephased into 2018/19 £'000	F (C+D+E) 2017/18 Total Expenditure £'000	G (F-B) 2017/18 Variance from Budget £'000		
8776	Town Hall Theatre Replace Stage Lighting Controls	50	50	0	50	0	50	0	RCCO	Scheme agreed & currently being priced. Initial order placed for materials. Anticipate commencing works once school holiday work is complete subject to agreement with building user. Work provisionally expected to take 2 weeks dependant on access.
8791	Education Development Centre	0	0	0	0	0	0	0	CAP REC	
8798	Mill House Replace Chemical Dosing System	2	2	0	2	0	2	0	RCCO	
8866	Rossmere Youth Centre Roof Replacement	17	17	0	17	0	17	0	CORP	Scheme on hold.
8867	Borough Hall Structural Works	27	27	1	26	0	27	0	CORP	Drawings complete & contract documents to be prepared. Anticipated start date September/October 2017.
8893	Town Hall Lighting and Distribution Board Replacement	18	18	0	18	0	18	0	CORP	Work to distribution board now complete. Awaiting instruction from client regarding lighting requirement.
8894	Aueurin Bevan House Roof Replacement	14	14	0	14	0	14	0	CORP	Scheme complete. Awaiting final account.
8906	Rossmere Window Replacement	33	33	0	33	0	33	0		Scheme on hold.
8953	Gardiner House	0	0	0	0	0	0	0	CAP REC	
8959	Civic Centre - Council Chamber Refurb	12	12	0	12	0	12	0	CORP	Scheme complete. Awaiting final account.
8961	Civic Centre External Doors	2	2	2	0	0	2	0	CAP REC	Scheme complete. Awaiting final account.
8967	Carlton Outdoor Centre Replace Hot Water System	13	13	0	13	0	13	0	CORP	Initial works complete subject to ongoing monitoring. Additional work recommended to supply and install a dosing system.
8968	Borough Hall Dance Floor	8	8	0	8	0	8	0	RCCO	Specification to be agreed with Client.
8970	Hartlepool Historic Quay Capital Works	321	321	0	211	110	321	0	CAP REC	Boiler & flue work complete. Phase 1 external decoration complete & phase 2 to price. Awaiting feedback from a specialist consultant regarding repairs to dock gates.
9007	Indoor Bowls Centre Refurbishment	190	190	0	190	0	190	0	RCCO	Scheme on hold.
9024	Asbestos Re-Surveys	40	40	0	40	0	40	0	RCCO	Surveys now complete. Remedial works still required.
8068	CETL - Fire Alarm Renewal	55	55	0	55	0	55	0	CORP	Scheme ongoing
8061	CETL - Replace Roof	58	58	0	58	0	58	0	CORP	Scheme ongoing
7473	Victory Square War Memorial - Conservation Works	55	55	0	55	0	55	0	CORP	Scheme ongoing
8973	Headland Sports Centre - Boiler Renewal	50	50	0	50	0	50	0	CORP	Scheme ongoing
7503	Carnegie Building - Boiler Renewal	35	35	0	35	0	35	0	CORP	Scheme ongoing
7505	Carnegie Building - Roof & Internal Works	16	16	0	16	0	16	0	CORP	Scheme ongoing
7904	Sir William Gray House - Internal Refurb	16	16	0	16	0	16	0	CORP	Scheme ongoing
Corporate Total		3,115	3,115	55	2,950	110	3,075	0		

Key

RCCO

MIX

Revenue Contribution towards Capital
Combination of Funding TypesCAP REC
UCPBCapital Receipt
Unsupported Departmental Prudential Borrowing

CORP

Corporate Resources

SECTION 106 DEVELOPERS CONTRIBUTIONS as at 31st July, 2017

[illegible]

FINANCE AND POLICY COMMITTEE

18 September 2017



Report of: Director of Finance and Policy

Subject: CONSOLIDATED DEPARTMENTAL ANNUAL
PROCUREMENT REPORT

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 For information.

2. PURPOSE OF REPORT

2.1 To provide the Finance and Policy Committee with an overview of Departmental Annual Procurement Reports which will be submitted to individual service committees in October.

3. BACKGROUND

3.1 The Council delivers a range of services through a combination of direct provision by the Council's own staff, contracts with the private and voluntary sector and partnership agreements with strategic partners. Each Department has produced an annual procurement report which will be presented to their respective committees. These reports provide information on existing contracts and enable Members to provide input to the strategic direction for the future delivery of these services.

4. PROPOSALS

4.1 Finance and Policy Committee are requested to note the contents of this consolidated report and to identify any specific issues they wish individual service committees to consider.

4.2 In relation to procurement processes for contracts commencing PRIOR to 1 September 2018 Finance and Policy Committee is requested to approve the proposed commissioning / Procurement Strategy detailed in part 1 of Appendices 1 and 3.

4.3 In relation to procurement processes for contracts commencing ON OR AFTER 1 September 2018 as detailed in part 2 of Appendices 1 and 3, Finance and Policy Committee is requested to consider the following process for managing commissioning / procurement decisions:

- Step 1 – Overview report considered by Finance and Policy Committee (18th September 2017);
- Step 2 – Individual Policy Committees consider and determine recommended commissioning / procurement routes (which may include in-sourcing where there is a robust and sustainable business case) for individual contracts / service areas;
- Step 3 – Individual Policy Committee recommendations considered by Finance and Policy Committee and if these recommendations are approved the decision is then implemented in line with appropriate Council procedures.

4.4 The Departmental Annual Procurement Reports are included in the following appendices:

Appendix A – Finance & Policy Committee Departmental Annual Procurement Report

Appendix B – Adult Services Committee Departmental Annual Procurement Report – 5th October 2017 meeting

Appendix C – Children's Services Committee Departmental Annual Procurement Report – 17th October 2017 meeting

Appendix D – Neighbourhood Services Committee Departmental Annual Procurement Report – 16th October 2017 meeting

Appendix E – Regeneration Services Committee Departmental Annual Procurement Report – 9th October 2017 meeting

5. RISK IMPLICATIONS

5.1 None – risks are managed by the existing procurement process.

6. FINANCIAL CONSIDERATIONS

6.1 There are no financial considerations associated directly with this report, although there will be financial considerations in relation to individual procurements decisions, and/or the development of alternative service delivery business cases.

7. LEGAL CONSIDERATIONS

7.1 None – legal issues are managed by the existing procurement process.

8. CONSULTATION

8.1 Not applicable.

9. CHILD AND FAMILY POVERTY (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE.)

9.1 There is no direct impact on Child and Family Poverty issues although there is the possibility of indirect impacts, depending on the commissioning / procurement strategies employed.

10. EQUALITY AND DIVERSITY CONSIDERATIONS (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE)

10.1 There are no equality and diversity considerations applicable to this proposal.

11. STAFF CONSIDERATIONS

11.1 There are no staff considerations applicable to this proposal.

12. ASSET MANAGEMENT CONSIDERATIONS

12.1 There are no asset management considerations applicable to this proposal.

13. RECOMMENDATIONS

13.1 It is recommended that Members:

- i) Note the contents of the Appendices to the report and;
- ii) Identify any specific issues they wish individual service committees to consider.
- iii) Consider and comment on the contents of Appendix A.
- iv) Approve the process for managing commissioning / procurement decisions detailed in paragraphs 4.2 and 4.3.

14. REASONS FOR RECOMMENDATIONS

14.1 To enable Members to influence decision making and strategy in relation to forthcoming commissioning activities.

15. BACKGROUND PAPERS

15.1 There are no background papers.

16. CONTACT OFFICERS

- 16.1 Chris Little
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Finance and Policy Committee Departmental Annual Procurement Report

FINANCE AND POLICY COMMITTEE

18th September 2017



Report of: Director of Finance & Policy

Subject: DEPARTMENTAL ANNUAL PROCUREMENT
REPORT – FINANCE & POLICY COMMITTEE

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 For information.

2. PURPOSE OF REPORT

2.1 To advise Committee of contractual activities where the annual value of the anticipated contract exceeds £60,000 for Goods and Services or £100,000 for Works.

3. BACKGROUND

3.1 The Council delivers a range of services through a combination of direct provision by the Council's own staff, contracts with the private and voluntary sector and partnership agreements with strategic partners. This report provides information on existing contracts for services and enables Members to provide input to the strategic direction for the future delivery of these services. This will enable Members to consider potential changes to the service specification, or potential alternative delivery models, where there is a robust business case.

4. PROPOSALS

4.1 To achieve these objectives the Department has produced a Departmental Annual Procurement Report (DAPR) for Members to review.

4.2 The DAPR is divided into the following four Appendices:

Appendix 1 – Procurement processes either underway or forthcoming which do not have any members interests recorded against them.

Appendix 2 – Not for Publication information on the contracts detailed in 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, (para 3) information relating to the financial or business affairs of any particular person (including the authority holding that information).

Appendix 3 – Procurement processes either underway or forthcoming which do have member's interests recorded against them.

Appendix 4 – Not for Publication information on the contracts detailed in 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).

Information listed in the Appendices is sorted in chronological order based on the contract end date. Details of the information in the Appendices is provided below.

4.3 Each appendix consists of two parts which are detailed below – NOTE: Parts 1 and 2 are only provided when there are contracts in that period.

4.3.1 **Part 1 - Procurement processes for contracts commencing PRIOR to 1 September 2018**

To ensure that members have sufficient time available to them to discuss and influence commissioning strategies this report has been constructed on the basis that a lead time of 12 months is required prior to contract commencement.

Part 1 details those activities where the 12 month period described above is not available. As a result of shortened timescales, it would be impractical to change direction on these projects, however, the opportunity to influence the arrangement will come up again at contract review / renewal.

4.3.2 **Part 2 - Procurement processes for contracts commencing ON OR AFTER 1 September 2018**

Part 2 provides details of procurement processes where a 12 month, or greater, timescale is available prior to contract commencement. The

inclusion of this information is aimed at facilitating discussions around commissioning strategies.

5. RISK IMPLICATIONS

5.1 None – risks are managed by the existing procurement process.

6. FINANCIAL CONSIDERATIONS

6.1 There are no financial considerations associated directly with this report, although there will be financial considerations in relation to individual procurements decisions, and/or the development of alternative service delivery business cases.

7. LEGAL CONSIDERATIONS

7.1 None – legal issues are managed by the existing procurement process.

8. CONSULTATION

8.1 Not applicable.

9. CHILD AND FAMILY POVERTY (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE.)

9.1 There is no direct impact on Child and Family Poverty issues although there is the possibility of indirect impacts, depending on the commissioning / procurement strategies employed.

10. EQUALITY AND DIVERSITY CONSIDERATIONS (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE)

10.1 There are no equality and diversity considerations applicable to this proposal.

11. STAFF CONSIDERATIONS

11.1 There are no staff considerations applicable to this proposal.

12. ASSET MANAGEMENT CONSIDERATIONS

12.1 There are no asset management considerations applicable to this proposal.

13. RECOMMENDATIONS

13.1 It is recommended that Members:

- i) Note the contents of the Appendices to the report and;
- ii) Indicate to officers any issues they wish to be considered when detailed commissioning of individual services is undertaken.

14. REASONS FOR RECOMMENDATIONS

14.1 To enable Members to influence decision making and strategy in relation to forthcoming commissioning activities.

15. BACKGROUND PAPERS

15.1 There are no background papers.

16. CONTACT OFFICERS

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Procurement processes for contracts commencing PRIOR to 1st September 2018

Ref No	i. Contract / Service Description	ii. Details of current contract terms e.g. In-house, contracted out, voluntary agency, partnership etc.	iii. Contract Start Date	iv. Contract End Date (inclusive of contractual extensions) and details of extension options e.g. '31/3/19 – including 1 year extension period'	v. Funding stream	vi. Proposed Commissioning / Procurement Strategy	vii. Reason (for proposed strategy)
50	Smoking Cessation	Contracted Out	01/04/2015	31/03/2019 including 2 1 year extension periods	Smoking Cessation	Contract to be extended for a further year, to end 31/03/19	To allow review and further commissioning plans to be developed.
22	Printing & Mailing (Revenues & Benefits)	Contracted Out	01/01/2014	31/12/2019 including 2 x 1yr extensions	General Fund	Contract to be repocured in advance of the end of the existing arrangement.	Only specialist external printing / mailing providers have the required IT infrastructure and complex machinery. External suppliers can also deliver mailing savings from Primepost facility relationship with Royal Mail

Procurement processes for contracts commencing ON OR AFTER 1st September 2018

Ref No	i. Contract / Service Description	ii. Details of current contract terms e.g. In-house, contracted out, voluntary agency, partnership etc.	iii. Contract Start Date	iv. Contract End Date (inclusive of contractual extensions) and details of extension options e.g. '31/3/19 – including 1 year extension period'	v. Funding stream	vi. Proposed Commissioning / Procurement Strategy	vii. Reason (for proposed strategy)
20	Corporate Cash Collection incl Schools, Car Parking	Contracted Out	01/03/2017	28/02/2019	General Fund	Contract to be repocured in advance of the end of the existing arrangement via Yorkshire Purchasing Organisation (YPO) framework	Current arrangement via NYPO delivers best value
25	ICT Managed Services	Contracted Out	01/11/2013	31/10/2020	Centralised ICT Contract Budget	Discussions are commencing regarding contract extension / re-procurement options. Outcome to be determined.	
27	HR / Payroll	Contracted Out	01/04/2016	31/03/2021	General Fund	Contract to be repocured in advance of the end of the existing arrangement.	Contract requires the provision of HR / Payroll software, database storage and technical support services which only external providers can deliver at lowest cost.
56	Sexual Health	Contracted Out	01/06/16	30/06/2021 including 2 additional 1 year extensions	Sexual Health	Contract to be repocured in advance of the end of the existing arrangement through a competitive market exercise jointly across Tees.	Review of the service towards the end of the contract term will inform our commissioning strategy subsequent to 2021. This is a mandated clinical service and as such, the LA is not an appropriate provider of service.
48	Specialist Drug and Alcohol Prescribing Service	Contracted Out	01/04/2014	31/03/2017 including 3 1 year extension periods. Contract extended for 24 months, to end 31/03/19	Substance Misuse	Contract to be repocured in advance of the end of the existing arrangement.	
643-2014	Security Services	Contracted Out	1/9/2014	31/8/2019 including 2 x 12 month extension periods	General Fund	Contract to be repocured in advance of the end of the existing arrangement.	

Procurement processes for contracts commencing ON OR AFTER 1st September 2018

Ref No	i. Contract / Service Description	ii. Details of current contract terms e.g. In-house, contracted out, voluntary agency, partnership etc.	iii. Contract Start Date	iv. Contract End Date (inclusive of contractual extensions) and details of extension options e.g. '31/3/19 – including 1 year extension period'	v. Funding stream	vi. Proposed Commissioning / Procurement Strategy	vii. Reason (for proposed strategy)
	Community Hub North & Financial Advice Service	Contracted Out	01/04/2017	31/04/19	Child and Family Poverty Fund Reserve	Contract to be reprocured in advance of the end of the existing arrangement.	There are currently no HBC properties which meet the requirements for delivering this service in the required location.

Adult Services Committee Departmental Annual Procurement Report

5th October 2017 meeting

ADULT SERVICES COMMITTEE

5th October 2017



Report of: Director of Child & Adult Services

Subject: DEPARTMENTAL ANNUAL PROCUREMENT
REPORT – ADULT SERVICES COMMITTEE

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 For information.

2. PURPOSE OF REPORT

2.1 To advise Committee of contractual activities where the annual value of the anticipated contract exceeds £60,000 for Goods and Services or £100,000 for Works.

3. BACKGROUND

3.1 The Council delivers a range of services through a combination of direct provision by the Council's own staff, contracts with the private and voluntary sector and partnership agreements with strategic partners. This report provides information on existing contracts for Adult Services and enables Members to provide input to the strategic direction for the future delivery of these services. This will enable Members to consider potential changes to the service specification, or potential alternative delivery models, where there is a robust business case.

4. PROPOSALS

4.1 To achieve these objectives the Department has produced a Departmental Annual Procurement Report (DAPR) for Members to review.

4.2 The DAPR is divided into the following four Appendices:

Appendix 1 – Procurement processes either underway or forthcoming which do not have any members interests recorded against them.

Appendix 2 – Not for Publication information on the contracts detailed in 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, (para 3) information relating to the financial or business affairs of any particular person (including the authority holding that information).

Appendix 3 – Procurement processes either underway or forthcoming which do have member's interests recorded against them.

Appendix 4 – Not for Publication information on the contracts detailed in 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).

Information listed in the Appendices is sorted in chronological order based on the contract end date. Details of the information in the Appendices is provided below.

4.3 Each appendix consists of two parts which are detailed below – NOTE: Parts 1 and 2 are only provided when there are contracts for that period.

4.3.1 **Part 1 - Procurement processes for contracts commencing PRIOR to 1 September 2018**

To ensure that members have sufficient time available to them to discuss and influence commissioning strategies this report has been constructed on the basis that a lead time of 12 months is required prior to contract commencement.

Part 1 details those activities where the 12 month period described above is not available. As a result of shortened timescales, it would be impractical to change direction on these projects, however, the opportunity to influence the arrangement will come up again at contract review / renewal.

4.3.2 **Part 2 - Procurement processes for contracts commencing ON OR AFTER 1 September 2018**

Part 2 provides details of procurement processes where a 12 month, or greater, timescale is available prior to contract commencement. The

inclusion of this information is aimed at facilitating discussions around commissioning strategies.

5. RISK IMPLICATIONS

5.1 None – risks are managed by the existing procurement process.

6. FINANCIAL CONSIDERATIONS

6.1 There are no financial considerations associated directly with this report, although there will be financial considerations in relation to individual procurements decisions, and/or the development of alternative service delivery business cases.

7. LEGAL CONSIDERATIONS

7.1 None – legal issues are managed by the existing procurement process.

8. CONSULTATION

8.1 Not applicable.

9. CHILD AND FAMILY POVERTY (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE.)

9.1 There is no direct impact on Child and Family Poverty issues although there is the possibility of indirect impacts, depending on the commissioning / procurement strategies employed.

10. EQUALITY AND DIVERSITY CONSIDERATIONS (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE)

10.1 There are no equality and diversity considerations applicable to this proposal.

11. STAFF CONSIDERATIONS

11.1 There are no staff considerations applicable to this proposal.

12. ASSET MANAGEMENT CONSIDERATIONS

12.1 There are no asset management considerations applicable to this proposal.

13. RECOMMENDATIONS

13.1 It is recommended that Members:

- i) Note the contents of the Appendices to the report and;
- ii) Indicate to officers any issues they wish to be considered when detailed commissioning of individual services is undertaken.

14. REASONS FOR RECOMMENDATIONS

14.1 To enable Members to influence decision making and strategy in relation to forthcoming commissioning activities.

15. BACKGROUND PAPERS

15.1 There are no background papers.

16. CONTACT OFFICERS

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Procurement processes for contracts commencing PRIOR to 1st September 2018

Appendix 1 – Part 1

Ref No	i. Contract / Service Description	ii. Details of current contract terms e.g. In-house, contracted out, voluntary agency, partnership etc.	iii. Contract Start Date	iv. Contract End Date (inclusive of contractual extensions) and details of extension options e.g. '31/3/19 – including 1 year extension period'	v. Funding stream Base Budget Fully Grant Funded Mixed (Grant & Base)	vi. Proposed Commissioning / Procurement Strategy	vii. Reason (for proposed strategy)
1	Homecare	Contracted Out	01/04/2010	31/03/2018	Base Budget	Tender & Recommission on a framework contract.	Financial and performance considerations. Legal framework requires services to be retendered. Contract is on a framework basis without guaranteed hours.
2	Homecare	Contracted Out	01/04/2010	31/03/2018	Base Budget	Tender & Recommission on a framework contract.	Financial and performance considerations. Legal framework requires services to be retendered. Contract is on a framework basis without guaranteed hours.
3	Adult Carers Support Service	Contracted Out	01/06/2013	31/05/2018	Grant	Tender & Recommission	Provision of support for carers recognised to be best practise if available for VCS to deliver - provides independence of support, information and advice.

Procurement processes for contracts commencing ON OR AFTER 1st September 2018

Ref No	i. Contract / Service Description	ii. Details of current contract terms e.g. In-house, contracted out, voluntary agency, partnership etc.	iii. Contract Start Date	iv. Contract End Date (inclusive of contractual extensions) and details of extension options e.g. '31/3/19 – including 1 year extension period'	v. Funding stream Base Budget Fully Grant Funded Mixed (Grant & Base)	vi. Proposed Commissioning / Procurement Strategy	vii. Reason (for proposed strategy)
7	Social Inclusion and Lifestyle Pathways for People Living with a Dementia Service (Day opportunities based at Gretton Court, Community Pastimes supporting individuals in their own home and community, information and advice)	Contracted Out	01/07/14	31/03/2019	Mixed	Recommissioning & Retender	Specialist service requiring significant expertise regarding the support and management of individuals living with dementia.
8	Information Signposting & Handyperson	Contracted Out	06/10/14	31/03/2019	Grant	Recommissioning & Retender	Non statutory low level preventative service.
9	Housing related support at Eamont Terrace	Contracted Out	01/04/16	31/03/2019	Base Budget	Recommissioning & Tender	Low level services linked to individual tenancies - service provided in building base
10	Stroke Care Support & Welfare Navigation Service	Contracted Out	01/04/2016	31/03/2019	Grant	Recommissioning	Specialist Service - limited providers
11	Transitional/Rehabilitation Care Home Beds	Contracted Out	01/06/2016	31/05/2019	Grant	Recommissioning & Tender	Financial considerations & requirement for purpose built residential care facility.
12	Housing related support service - Alcohol	Contracted Out	06/03/17	30/11/2019	Base Budget	Recommissioning & Retender	Low level services linked to individual tenancies - service provided in building base.
13	Housing Related Support for Offenders	Contracted Out	06/04/15	05/04/2020	Base Budget	Recommissioning & Retender	Low level services linked to individual tenancies - service provided in building base.
14	Housing Related Support for Homeless	Contracted Out	01/06/15	31/05/2020	Base Budget	Recommissioning & Retender	Support to be recommissioned - provider is handing back contract owing to strategic change in delivery. Building base service.
15	Dementia Advisory Service	Contracted Out	01/09/15	01/08/2020	Grant	Recommissioning & Retender	Provision of support for carers recognised to be best practise if available for VCS to deliver - provides

							independence of support, information and advice.
16	Care and Support Services within Extra Care Housing (Hartfields)	Partnership arrangement	18/08/15	17/08/2020	Base Budget	Continue partnership arrangement	Partnership with provider, scheme built in partnership following joint bid for national funding.
17	Getting Out and About & Staying Connected Service (day opportunities based at Hartfields , luncheon clubs, low level support and information and advice)	Contracted Out	31/08/15	30/08/2020	Mixed	Recommission & Retender	Linked to personal budgets building base day opportunity services, low level service with community focus.
18	Housing Related Support - Community based floating support for vulnerable groups to prevent homelessness.	Contracted Out	06/04/2016	05/04/2021	Base Budget	Recommission & Tender	Low level services linked to individuals living in the community.
19	Greenfields Lodge, LD, 24hr short stay care and accommodation (Block Purchase).	Contracted Out	01/04/17	31/03/2022	Grant	Negotiation with Provider - subject to exemption report.	Building base owned and operated by provider. Linked to personal budgets and strong links to families and individuals who use services
20	Extra Care Support delivered at building based schemes throughout the community	Contracted Out	01/10/2017	30/09/2022	Base Budget	Recommission & Tender	New contract

Procurement processes for contracts commencing PRIOR to 1st September 2018

Ref No	i. Contract / Service Description	ii. Details of current contract terms e.g. In-house, contracted out, voluntary agency, partnership etc.	iii. Contract Start Date	iv. Contract End Date (inclusive of contractual extensions) and details of extension options e.g. <i>'31/3/19 – including 1 year extension period'</i>	v. Funding stream	vi. Proposed Commissioning / Procurement Strategy	vii. Reason (for proposed strategy)
1	Provision of statutory Healthwatch functions	Contracted Out	07/01/2013	31/03/2018	Mixed	Recommission with incumbent provider	Healthwatch is a Charitable Incorporated Organisation (CIO) created specifically for the purpose of providing Healthwatch services, governed by an independent board
4	Assistive Technology - Telecare	Partnership arrangement	06/04/2009	Ongoing (with annual review)	Grant	Continue partnership arrangement	Review of current service, incorporate savings targets
5	Housing Related Support for Vulnerable Adults	Partnership arrangement	06/04/2009	Ongoing (with annual review)	Grant	Continue partnership arrangement	Review of current service, incorporate savings targets
6	Housing Related Support - Extra Care	Partnership arrangement	06/04/2009	Ongoing (with annual review)	Base Budget	Continue partnership arrangement	Review of current service, incorporate savings targets

Children's Services Committee Departmental Annual Procurement Report

17th October 2017 meeting

CHILDREN'S SERVICES COMMITTEE

17th October 2017



Report of: Director of Child & Adult Services

Subject: DEPARTMENTAL ANNUAL PROCUREMENT
REPORT – CHILDREN'S SERVICES COMMITTEE

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 For information.

2. PURPOSE OF REPORT

2.1 To advise Committee of contractual activities where the annual value of the anticipated contract exceeds £60,000 for Goods and Services or £100,000 for Works.

3. BACKGROUND

3.1 The Council delivers a range of services through a combination of direct provision by the Council's own staff, contracts with the private and voluntary sector and partnership agreements with strategic partners. This report provides information on existing contracts for Children's Services and enables Members to provide input to the strategic direction for the future delivery of these services. This will enable Members to consider potential changes to the service specification, or potential alternative delivery models, where there is a robust business case.

4. PROPOSALS

4.1 To achieve these objectives the Department has produced a Departmental Annual Procurement Report (DAPR) for Members to review.

4.2 The DAPR is divided into the following four Appendices:

Appendix 1 – Procurement processes either underway or forthcoming which do not have any members interests recorded against them.

Appendix 2 – Not for Publication information on the contracts detailed in 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, (para 3) information relating to the financial or business affairs of any particular person (including the authority holding that information).

Appendix 3 – Procurement processes either underway or forthcoming which do have member's interests recorded against them.

Appendix 4 – Not for Publication information on the contracts detailed in 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).

Information listed in the Appendices is sorted in chronological order based on the contract end date. Details of the information in the Appendices is provided below.

4.3 Each appendix consists of two parts which are detailed below – NOTE: Parts 1 and 2 are only provided when there are contracts in that period.

4.3.1 Part 1 - Procurement processes for contracts commencing PRIOR to 1 September 2018

To ensure that members have sufficient time available to them to discuss and influence commissioning strategies this report has been constructed on the basis that a lead time of 12 months is required prior to contract commencement.

Part 1 details those activities where the 12 month period described above is not available. As a result of shortened timescales, it would be impractical to change direction on these projects, however, the opportunity to influence the arrangement will come up again at contract review / renewal.

4.3.2 Part 2 - Procurement processes for contracts commencing ON OR AFTER 1 September 2018

Part 2 provides details of procurement processes where a 12 month, or greater, timescale is available prior to contract commencement. The

inclusion of this information is aimed at facilitating discussions around commissioning strategies.

5. RISK IMPLICATIONS

5.1 None – risks are managed by the existing procurement process.

6. FINANCIAL CONSIDERATIONS

6.1 There are no financial considerations associated directly with this report, although there will be financial considerations in relation to individual procurements decisions, and/or the development of alternative service delivery business cases.

7. LEGAL CONSIDERATIONS

7.1 None – legal issues are managed by the existing procurement process.

8. CONSULTATION

8.1 Not applicable.

9. CHILD AND FAMILY POVERTY (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE.)

9.1 There is no direct impact on Child and Family Poverty issues although there is the possibility of indirect impacts, depending on the commissioning / procurement strategies employed.

10. EQUALITY AND DIVERSITY CONSIDERATIONS (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE)

10.1 There are no equality and diversity considerations applicable to this proposal.

11. STAFF CONSIDERATIONS

11.1 There are no staff considerations applicable to this proposal.

12. ASSET MANAGEMENT CONSIDERATIONS

12.1 There are no asset management considerations applicable to this proposal.

13. RECOMMENDATIONS

13.1 It is recommended that Members:

- i) Note the contents of the Appendices to the report and;
- ii) Indicate to officers any issues they wish to be considered when detailed commissioning of individual services is undertaken.

14. REASONS FOR RECOMMENDATIONS

14.1 To enable Members to influence decision making and strategy in relation to forthcoming commissioning activities.

15. BACKGROUND PAPERS

15.1 There are no background papers.

16. CONTACT OFFICERS

16.1 Sally Robinson
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Tel: 01429 52373

Procurement processes for contracts commencing PRIOR to 1st September 2018

Ref No	i. Contract / Service Description	ii. Details of current contract terms e.g. In-house, contracted out, voluntary agency, partnership etc.	iii. Contract Start Date	iv. Contract End Date (inclusive of contractual extensions) and details of extension options e.g. '31/3/19 – including 1 year extension period'	v. Funding stream	vi. Proposed Commissioning / Procurement Strategy	vii. Reason (for proposed strategy)
29	Supported Accommodation for teenage parents	Contracted Out	06/10/2008	31/10/2017	17046	Commission external provider	In house delivery option not viable
35	CAMHS (LAC)	Contracted Out	01/04/2017	31/03/2018		Under review	Possibility of alternative delivery option
37	Supported Accommodation for Vulnerable Young People	Contracted Out	05/01/2009	27/10/2017	17047	Commission external provider	In house delivery option not viable
38	Independent Fostering Agency (IFA) Framework	Contracted Out	11/01/2014	10/01/2018	17211	Commission external provider	In house delivery option not viable
	NE12 Framework – Residential Education Placements and Day Placements	Contracted Out	01/02/2016	31/01/2018 (including 1 year extension period)		Commission external provider	In house delivery option not viable

Procurement processes for contracts commencing ON OR AFTER 1st September 2018

Ref No	i. Contract / Service Description	ii. Details of current contract terms e.g. In-house, contracted out, voluntary agency, partnership etc.	iii. Contract Start Date	iv. Contract End Date (inclusive of contractual extensions) and details of extension options e.g. '31/3/19 – including 1 year extension period'	v. Funding stream	vi. Proposed Commissioning / Procurement Strategy	vii. Reason (for proposed strategy)
40	Advocacy Service for Children & Young People	Contracted Out	01/11/2016	30/10/2020 (including 2 year extension period)	17213	Commission external provider	In house delivery option not viable
46	Supported Accommodation for Care Leavers and LAC	Contracted Out	01/04/2013	31/03/2025 (including 2x 4 year extension periods)	17213	Commission external provider	In house delivery option not viable
	Tees Valley Children's Homes Framework	Contracted Out	01/04/2016	31/03/2020 (including 2 year extension period)		Commission external provider	In house delivery option not viable
32	Emergency Duty Team	Contracted Out	01/04/2017	31/03/2021	17250	Commission external provider	In house delivery option not viable

Procurement processes for contracts commencing ON OR AFTER 1st September 2018

Ref No	i. Contract / Service Description	ii. Details of current contract terms e.g. In-house, contracted out, voluntary agency, partnership etc.	iii. Contract Start Date	iv. Contract End Date (inclusive of contractual extensions) and details of extension options e.g. '31/3/19 – including 1 year extension period'	v. Funding stream	vi. Proposed Commissioning / Procurement Strategy	vii. Reason (for proposed strategy)
41	EIG Mentoring	Contracted Out	01/04/2015	31/03/2019 (including 1 year extension period)	22617	Under review	Possibility of alternative delivery option
42	Short-breaks - Extended Activities, afterschool activities for families of disabled children (respite). Also, 11 wk playscheme for provision for same client group	Contracted Out	01/04/2016	31/03/2019 (including 1 year extension period)	22556	Commission external provider	In house delivery option not viable

Appendix D

Neighbourhood Services Committee Departmental Annual Procurement Report

16th October 2017 meeting

NEIGHBOURHOOD SERVICES COMMITTEE

16 October 2017



Report of: Director of Regeneration and Neighbourhoods

Subject: **DEPARTMENTAL ANNUAL PROCUREMENT
REPORT – NEIGHBOURHOOD SERVICES
COMMITTEE**

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 For information.

2. PURPOSE OF REPORT

2.1 To advise Committee of contractual activities where the annual value of the anticipated contract exceeds £60,000 for Goods and Services or £100,000 for Works.

3. BACKGROUND

3.1 The Council delivers a range of services through a combination of direct provision by the Council's own staff, contracts with the private and voluntary sector and partnership agreements with strategic partners. This report provides information on existing contracts for Neighbourhood Services and enables Members to provide input to the strategic direction for the future delivery of these services. This will enable Members to consider potential changes to the service specification, or potential alternative delivery models, where there is a robust business case.

4. PROPOSALS

4.1 To achieve these objectives the Department has produced a Departmental Annual Procurement Report (DAPR) for Members to review.

4.2 The DAPR is divided into the following four Appendices:

Appendix 1 – Procurement processes either underway or forthcoming which do not have any members interests recorded against them.

Appendix 2 – Not for Publication information on the contracts detailed in 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, (para 3) information relating to the financial or business affairs of any particular person (including the authority holding that information).

Appendix 3 – Procurement processes either underway or forthcoming which do have member's interests recorded against them.

Appendix 4 – Not for Publication information on the contracts detailed in 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).

Information listed in the Appendices is sorted in chronological order based on the contract end date. Details of the information in the Appendices is provided below.

4.3 Each appendix consists of two parts which are detailed below – NOTE: Parts 1 and 2 are only provided when there are contracts in that period.

4.3.1 **Part 1 - Procurement processes for contracts commencing PRIOR to 1 September 2018**

To ensure that members have sufficient time available to them to discuss and influence commissioning strategies this report has been constructed on the basis that a lead time of 12 months is required prior to contract commencement.

Part 1 details those activities where the 12 month period described above is not available. As a result of shortened timescales, it would be impractical to change direction on these projects, however, the opportunity to influence the arrangement will come up again at contract review / renewal.

4.3.2 **Part 2 - Procurement processes for contracts commencing ON OR AFTER 1 September 2018**

Part 2 provides details of procurement processes where a 12 month, or greater, timescale is available prior to contract commencement. The inclusion of this information is aimed at facilitating discussions around commissioning strategies.

5. RISK IMPLICATIONS

5.1 None – risks are managed by the existing procurement process.

6. FINANCIAL CONSIDERATIONS

6.1 There are no financial considerations associated directly with this report, although there will be financial considerations in relation to individual procurements decisions, and/or the development of alternative service delivery business cases.

7. LEGAL CONSIDERATIONS

7.1 None – legal issues are managed by the existing procurement process.

8. CONSULTATION

8.1 Not applicable.

9. CHILD AND FAMILY POVERTY (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE.)

9.1 There is no direct impact on Child and Family Poverty issues although there is the possibility of indirect impacts, depending on the commissioning / procurement strategies employed.

10. EQUALITY AND DIVERSITY CONSIDERATIONS (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE)

10.1 There are no equality and diversity considerations applicable to this proposal.

11. STAFF CONSIDERATIONS

11.1 There are no staff considerations applicable to this proposal.

12. ASSET MANAGEMENT CONSIDERATIONS

- 12.1 There are no asset management considerations applicable to this proposal.

13. RECOMMENDATIONS

- 13.1 It is recommended that Members:
- i) Note the contents of the Appendices to the report and;
 - ii) Indicate to officers any issues they wish to be considered when detailed commissioning of individual services is undertaken.

14. REASONS FOR RECOMMENDATIONS

- 14.1 To enable Members to influence decision making and strategy in relation to forthcoming commissioning activities.

15. BACKGROUND PAPERS

- 15.1 There are no background papers.

14. CONTACT OFFICER

- 14.1 Denise Ogden
Director of Regeneration & Neighbourhoods
Civic Centre
Victoria Road
Hartlepool
TS24 8AY
Email: denise.ogden@hartlepool.gov.uk
Tel: 01429 523300

Procurement processes for contracts commencing PRIOR to 1st September 2018

Ref No	i. Contract / Service Description	ii. Details of current contract terms e.g. In-house, contracted out, voluntary agency, partnership etc.	iii. Contract Start Date	iv. Contract End Date (inclusive of contractual extensions) and details of extension options e.g. '31/3/19 – including 1 year extension period'	v. Funding stream	vi. Proposed Commissioning / Procurement Strategy	vii. Reason (for proposed strategy)
94	Passenger Transport Services	Contracted Out	01/09/2015	31/07/2020 – including 2 year extension period	HBC Revenue, Health Funding and Personal Budgets	An option to extend the contract for up to a further two years or to re-tender for the full contract for a further three year period.	To provide a statutory Home to School 'Day Service' Adult Education and other Local Authority Transport Provision

Regeneration Services Committee Departmental Annual Procurement Report

9th October 2017 meeting

REGENERATION SERVICES COMMITTEE

9th October 2017



Report of: Director of Regeneration & Neighbourhoods

Subject: DEPARTMENTAL ANNUAL PROCUREMENT
REPORT – REGENERATION SERVICES
COMMITTEE

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 For information.

2. PURPOSE OF REPORT

2.1 To advise Committee of contractual activities where the annual value of the anticipated contract exceeds £60,000 for Goods and Services or £100,000 for Works.

3. BACKGROUND

3.1 The Council delivers a range of services through a combination of direct provision by the Council's own staff, contracts with the private and voluntary sector and partnership agreements with strategic partners. This report provides information on existing contracts for Regeneration Services and enables Members to provide input to the strategic direction for the future delivery of these services. This will enable Members to consider potential changes to the service specification, or potential alternative delivery models, where there is a robust business case.

4. PROPOSALS

4.1 To achieve these objectives the Department has produced a Departmental Annual Procurement Report (DAPR) for Members to review.

4.2 The DAPR is divided into the following four Appendices:

Appendix 1 – Procurement processes either underway or forthcoming which do not have any members interests recorded against them.

Appendix 2 – Not for Publication information on the contracts detailed in Appendix 1.

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4.3.1 **Part 1 - Procurement processes for contracts commencing PRIOR to 1 September 2018**

To ensure that members have sufficient time available to them to discuss and influence commissioning strategies this report has been constructed on the basis that a lead time of 12 months is required prior to contract commencement.

Part 1 details those activities where the 12 month period described above is not available. As a result of shortened timescales, it would be impractical to change direction on these projects, however, the opportunity to influence the arrangement will come up again at contract review / renewal.

4.3.2 **Part 2 - Procurement processes for contracts commencing ON OR AFTER 1 September 2018**

Part 2 provides details of procurement processes where a 12 month, or greater, timescale is available prior to contract commencement. The inclusion of this information is aimed at facilitating discussions around commissioning strategies.

5. RISK IMPLICATIONS

5.1 None – risks are managed by the existing procurement process.

6. FINANCIAL CONSIDERATIONS

6.1 There are no financial considerations associated directly with this report, although there will be financial considerations in relation to individual procurements decisions, and/or the development of alternative service delivery business cases.

7. LEGAL CONSIDERATIONS

7.1 None – legal issues are managed by the existing procurement process.

8. CONSULTATION

8.1 Not applicable.

9. CHILD AND FAMILY POVERTY (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE.)

9.1 There is no direct impact on Child and Family Poverty issues although there is the possibility of indirect impacts, depending on the commissioning / procurement strategies employed.

10. EQUALITY AND DIVERSITY CONSIDERATIONS (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE)

10.1 There are no equality and diversity considerations applicable to this proposal.

11. STAFF CONSIDERATIONS

11.1 There are no staff considerations applicable to this proposal.

12. ASSET MANAGEMENT CONSIDERATIONS

- 12.1 There are no asset management considerations applicable to this proposal.

13. RECOMMENDATIONS

- 13.1 It is recommended that Members:
- i) Note the contents of the Appendices to the report and;
 - ii) Indicate to officers any issues they wish to be considered when detailed commissioning of individual services is undertaken.

14. REASONS FOR RECOMMENDATIONS

- 14.1 To enable Members to influence decision making and strategy in relation to forthcoming commissioning activities.

15. BACKGROUND PAPERS

- 15.1 There are no background papers.

16. CONTACT OFFICERS

- 16.1 Denise Ogden
Director of Regeneration & Neighbourhoods
Civic Centre
Victoria Road
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TS24 8AY
Email: denise.ogden@hartlepool.gov.uk
Tel: 01429 523300

Procurement processes for contracts commencing PRIOR to 1st September 2018

Ref No	i. Contract / Service Description	ii. Details of current contract terms e.g. In-house, contracted out, voluntary agency, partnership etc.	iii. Contract Start Date	iv. Contract End Date (inclusive of contractual extensions) and details of extension options e.g. '31/3/19 – including 1 year extension period'	v. Funding stream	vi. Proposed Commissioning / Procurement Strategy	vii. Reason (for proposed strategy)
58	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
59	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
61	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
62	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
64	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
66	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
68	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
70	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
71	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
72	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
75	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
77	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
79	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
80	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part	

						of a consortium bid	
81	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
82	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
85	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
86	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
88	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
57	YEI Routeways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
67	YEI Routeways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
78	YEI Routeways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
91	Design Work for Church Square	Contracted Out	August 2017	June 2018	LGF	One off contract	
92	Project Management and Design of “the BIS” Managed Workspace RIBA Stages 4,5 and 6	Contracted Out	November 2016	June 2018	LGF	One off contract	
93	ISQ Church Street and Church Square Improvement Public Realm Works (Single contract)	Contracted Out	September 2017	June 2018	LGF	One off contract	
94	ISQ “The BIS” Managed Workspace- Whitby Street Construction contract	Contracted Out	September 2018	June 2018	LGF	One off contract	
95	Seaton Carew- Public realm and outdoor leisure works to the Front at Seaton Carew	Contracted Out	August 2017	March 2018	CCF/Landfill Tax/HBC	One off contract	
96	Art Work “Boy and the Bike”	Contracted Out	August 2017	March 2018	CCF	One off contract	
98	Stockton Street Construction contract	Contracted Out	June 2018	March 2019	LGF	One off contract	
101	Design Work for ISQ- Phase 2	Contracted Out	December 2017	June 2018	TVCA	One off contract	
102	Development of Architectural Concept	Contracted Out	June 2018	December 2018	TVCA	One off contract	

	Scheme for Waterfront Visitor Attraction						
103	Detailed Design of public realm, landscaping and connectivity strategy for the Waterfront	Contracted Out	January 2018	June 2018	TVCA	One off contract	
104	Business Planning, feasibility and financial modelling for the Waterfront Visitor Attraction and Watersports Hub	Contracted Out	March 2018	June 2018	TVCA	One off contract	
105	Hotel Feasibility Study and External Agent	Contracted Out	January 2018	June 2018	TVCA	One off contract	

Procurement processes for contracts commencing PRIOR to 1st September 2018

Ref No	i. Contract / Service Description	ii. Details of current contract terms e.g. In-house, contracted out, voluntary agency, partnership etc.	iii. Contract Start Date	iv. Contract End Date (inclusive of contractual extensions) and details of extension options e.g. '31/3/19 – including 1 year extension period'	v. Funding stream	vi. Proposed Commissioning / Procurement Strategy	vii. Reason (for proposed strategy)
60	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	
73	YEI Pathways	Contracted Out	01/10/2015	31/07/2018	DWP/ESF	Tees Valley Youth Employment Initiative project developed as part of a consortium bid	