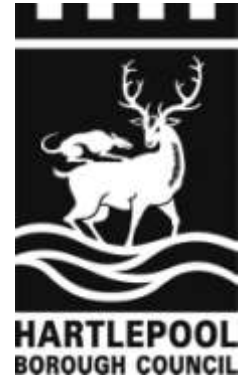


# **FINANCE AND POLICY COMMITTEE**

## **AGENDA**



**Monday 30 July 2018**

**at 10.00 am**

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

**MEMBERS:** FINANCE AND POLICY COMMITTEE

Councillors C Akers-Belcher, S Akers-Belcher, Brown, Cassidy, Cranney, Harrison, Marshall, Moore, Smith, 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 July 2018.

**4. BUDGET AND POLICY FRAMEWORK ITEMS**

- 4.1 Final Outturn 2017/18 - *Corporate Management Team*

**5. KEY DECISIONS**

None.

**6. OTHER ITEMS REQUIRING DECISION**

- 6.1 Integrated Working – Neighbourhood Safety Group Update – *Director of Regeneration and Neighbourhoods*  
6.2 Data Protection – Update and Policy - *Interim Chief Solicitor*



## **7. ITEMS FOR INFORMATION**

- 7.1 Corporate Procurement Quarterly Report on Contracts - *Director of Finance and Policy*

## **8. ANY OTHER BUSINESS WHICH THE CHAIR CONSIDERS URGENT**

### FOR INFORMATION

Future meeting dates –

Monday 3 September 2018 at 10.00 am  
Monday 8 October 2018 at 10.00 am  
Monday 29 October 2018 at 10.00 am  
Monday 26 November 2018 at 10.00 am  
Monday 17 December 2018 at 10.00 am  
Monday 14 January 2019 at 10.00 am  
Monday 28 January 2019 at 10.00 am  
Monday 11 March 2019 at 10.00 am



# **FINANCE AND POLICY COMMITTEE**

## **MINUTES AND DECISION RECORD**

9 JULY 2018

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

**Present:**

Councillor Christopher Akers Belcher (In the Chair)

Councillors: Stephen Akers-Belcher, Tom Cassidy, Kevin Cranney,  
Brenda Harrison, Ann Marshall, Leisa Smith and Stephen Thomas.

Also Present: Councillor Robert Buchan as substitute for Councillor Shane Moore in accordance with Council Procedure Rule 5.2.

Officers: Sally Robinson, Director of Children's and Joint Commissioning Services  
Denise Ogden, Director of Regeneration and Neighbourhoods  
John Morton, Assistant Director, Finance and Customer Services  
Neil Wilson, Interim Assistant Chief Solicitor and Deputy Monitoring Officer  
Julian Heward, Public Relations Officer  
David Cosgrove, Democratic Services Team

### **14. Apologies for Absence**

Councillors Paddy Brown and Shane Moore.

### **15. Declarations of Interest**

Councillors Christopher Akers Belcher and Stephen Akers-Belcher declared personal interests in relation to minute no. 20.

### **16. Minutes of the meeting held on 18 June, 2018**

Confirmed.

### **17. Minutes of the meeting of the Health and Wellbeing Board held on 5 March, 2018**

Received.

**18. Minutes of the meeting of the Safer Hartlepool Partnership held on 13 April, 2018**

Received.

**19. Community Safety Plan 2017-20 (Year 2)** *(Director of Regeneration and Neighbourhoods)*

**Type of decision**

Budget and Policy Framework.

**Purpose of report**

To consider and comment on the Community Safety Plan 2017-20 (Year 2).

To consider referral to Council for adoption of the Community Safety Plan (Year 2) attached as an appendix to the report.

**Issue(s) for consideration**

The Director of Regeneration and Neighbourhoods reported that the current Community Safety Plan published in 2017 outlined the Safer Hartlepool Partnership's strategic objectives for a three year period, with a requirement to refresh the plan on an annual basis following completion of the annual strategic assessment.

The Community Safety Plan (Year 2) had been agreed by the Safer Hartlepool Partnership on 22nd June. In accordance with the budget and policy framework the Finance and Policy Committee was requested, therefore, to consider the content of the Community Safety Plan (Year 2).

**Decision**

1. That the Finance and Policy Committee approves the content of the Community Safety Plan 2017-20 (Year 2).
2. That in accordance with the budget and policy framework, the Community Safety Plan 2017-20 (Year 2) be referred to full Council for the adoption.

**20. 'Filling the Holiday Gap' scheme – summer 2018**  
*(Director of Children's and Joint Commissioning Services)*

**Type of decision**

Non-key decision.

**Purpose of report**

To provide Members of the Committee with a proposal for the delivery of a

‘Filling the Holiday Gap’ grant scheme for the 2018 school summer holidays to be funded from the Child and Family Poverty Initiatives reserve.

To present options for the future development and sustainability of this food poverty intervention and ensure there are links with the wider work underway around this agenda.

### **Issue(s) for consideration**

The Director of Children’s and Joint Commissioning reported that the Committee received a report on 22 November 2017 highlighting the key outcomes and proposed next steps following the successful ‘Filling the Holiday Gap’ grant scheme in summer 2017. The report outlined options in relation to the delivery of future initiatives and recommended allocating additional resources to the grant scheme for local community and voluntary sector and public sector organisations for Christmas 2017, with any underspend rolling over to support a smaller scheme for Easter 2018.

Committee approved the recommendations as outlined in the report (Minute No. 84, 22 November, 2018 refers) and it was agreed that a further £14,500 (£10,000 plus a £4,500 underspend) would be allocated to the extension of the community ring-fenced reserve for Christmas 2017 scheme, with revised criteria.

The report went on to outline the key outcomes from the scheme indicating the amounts spent by each group involved and the numbers of children and adults that benefitted, and the number of meals, snacks and food parcels provided. In total, over 3,000 meals were provided by the 15 projects over a two week period and almost 500 food parcels distributed to families and individuals. This included over 100 food parcels for families affected by substance misuse via Hartlepool Action Recovery Team.

The Director highlighted that as part of the wider work around tackling food poverty in the borough, a ‘Hartlepool Food Network’ had been established to help coordinate and distribute unsold/unwanted food more efficiently and strategically across the town. The Director recommended that any groups in receipt of a ‘Filling the Holiday Gap’ grant should also register with the food network as a condition of the grant and utilise the surplus food from this project to complement their holiday provision schemes and thus improve longer-term sustainability and reduce overall costs.

It was proposed, therefore, that the Finance and Policy Committee agree to allocate a further £25,000 from the Child and Family Poverty Initiative reserve towards a Summer 2018 ‘Filling the Holiday Gap’ scheme and cap the maximum grant at £2,500 per organisation with further support in accessing food coming from the Hartlepool Food Network.

The Director stated that in order to secure future sustainability of the intervention and move towards a more cost-effective and sustainable approach in light of diminishing Council resources, it was proposed to fund

further community grant schemes for Christmas 2018 and Easter 2019, each at £10,000, from the Child and Family Poverty Initiatives reserve reflecting a move towards greater use of the Hartlepool Food Network and organisations such as Fare Share, Food Cloud and Hartlepool Food Bank to provide surplus food by a more targeted approach.

It was further proposed that Finance and Policy Committee commit funding for the Summer 2019 scheme of £25,000 and set an indicative allocation of £2,500 per organisation subject to review upon the evaluation of the three schemes to be delivered over the forthcoming year. The 'Financial Considerations' section of the report set out the funding in terms of the balance of the Child and Family Poverty Reserve.

Members welcomed the proposals and the extension of the scheme to cover the Christmas and Easter holiday periods. A Member expressed concern that some individuals may be missed from the scheme if they didn't 'belong' to a particular group. Was there any means of ensuring such instances didn't happen through highlighting the schemes through schools. The Chair suggested issuing publicity alongside the free swims programme to schools. The Director stated that information was circulated to all schools as part of wider information that included the free swims programme.

The Vice-Chair indicated that there was some concern around some children going to more than one scheme; was attendance monitored. The Director stated that many of the projects did some wider work around education alongside the delivery of meals or food parcels. Those families that were being supported by the authority were signposted to local projects. Gathering details of individuals and families may prove difficult under GDPR regulations and it had been recognised that some may be taking advantage of the different projects but those numbers were very low and the vast majority were people and families who genuinely found the scheme very valuable.

A Member referred to some of the spend statistics for the various groups and how, on face value, some of the costs varied quite significantly. It was suggested that future information presented to Members include a greater breakdown of costs. The Director stated that the applications for funding did include a breakdown of costs and there was detailed financial monitoring but it may be valuable for members to see those applications in the context of what was delivered in future monitoring reports.

A Member questioned if only children/families in receipt of free school meals were directed towards the programme. The Director indicated that access was universal, though some targeting did take place.

### **Decision**

1. That the findings of the report be noted and the proposals for future delivery of holiday provision schemes for the next 15 months be

- approved.
2. That the provision of another ring fenced non-recurrent community resource for summer 2018 through the Child and Family Poverty Initiative Reserve be approved with £25,000 being allocated and grants capped at £2,500 per organisation.
  3. That £10,000 per scheme be approved towards 'Filling the Holiday Gap' interventions in Christmas 2018, Easter 2019 and £25,000 for Summer 2019, subject to review upon the evaluation of the three schemes to be delivered over the forthcoming year.
  4. That the balance of funding remaining in the Child and Family Poverty Initiative Reserve be noted and that £20,000 be made available on an annual recurring basis for Holiday Gap schemes.

## 21. **Departmental Restructure** (*Chief Executive*)

### **Type of decision**

Non-Key Decision.

### **Purpose of report**

The report made recommendations to Committee in respect of the Chief Officer structure of the Children and Joint Commissioning Services Department of the Council.

### **Issue(s) for consideration**

The Director of Children's and Joint Commissioning reported that in August 2017, Finance and Policy Committee considered a report of the Chief Executive outlining proposals for a corporate restructure following a review the functional groupings in each Department. The aim of the proposed restructure was to ensure that there was a senior leadership team clearly focused on the challenges the Council faced, made best use of the expertise within the authority and delivered excellent and consistent services. Finance and Policy Committee approved the recommendations of the report and the changes were implemented from 1 September 2017.

In January 2018, the Council commenced the process to recruit a permanent Director of Public Health/Assistant Director Joint Commissioning and a Public Health Consultant/Head of Business Intelligence. Unfortunately prior to the date of the interview, the two applicants for the Director of Public Health post withdrew their applications and the Council was unable to appoint to the Public Health Consultant post.

In the light of the difficulties in recruiting to the skill set required for these posts, the Chair of the Appointments Panel asked the Chief Executive and Director of Children and Joint Commissioning Services to review the senior management structure of the department and any alternative models that could be considered to enable the Council to successfully recruit to the vacant posts.

The Chief Executive indicated in the report that she had consulted with the senior leadership team, including the Interim Director of Public Health, and had reviewed the structure of Children and Joint Commissioning Services and proposed a reorganisation of the roles and responsibilities of the Assistant Directors and Director of Public Health functions from those proposed in the report of August 2017. The Chief Executive considered it important that the Council had a structure which best meets the challenges it faces in both the short and medium to long term and makes the best use of the expertise and talents of the existing highly skilled workforce.

The proposals were included in Appendix 1 in the exempt section of the report. The appendix contained 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).

Members welcomed and supported the proposals as set out in the appendix.

### **Decision**

1. That the restructure outlined in the Exempt appendix to the report be approved.
2. The Committee noted that the proposals as set out in the Exempt section of the report would form the basis of appropriate communications and consultations with those staff affected.
3. That the amendments to the functional groupings as set out in the Exempt section of the report be approved.
4. The Committee noted that the recurring costs of the proposed structure could be funded from existing resources as detailed in the report.

## **22. Any Other Items which the Chairman Considers are Urgent**

None.

The meeting noted that the next Committee would be held on Monday 30 July, 2018 commencing at 10.00 am in the Civic Centre.

The meeting concluded at 10.15 am.

**H MARTIN**

**INTERIM CHIEF SOLICITOR**

**PUBLICATION DATE: 16 JULY 2018**



## **FINANCE AND POLICY COMMITTEE**

30<sup>th</sup> July 2018



**Report of:** Corporate Management Team

**Subject:** FINAL OUTTURN 2017/18

---

### **1. TYPE OF DECISION / APPLICABLE CATEGORY**

1.1 Budget and Policy Framework Decision.

### **2. PURPOSE OF REPORT**

2.1 To provide details of the final outturns for 2017/18 and to approve the strategy for funding the final 2017/18 General Fund overspend of £0.109m.

### **3. 2017/18 REVENUE OUTTURN**

- 3.1 Financial management reports considered during 2017/18 included an assessment of the forecast outturn. These forecasts reflected an assessment of demand led services throughout the year, including the specific impact on a range of services affected by higher demand over the winter months, including care costs in relation to older people and winter maintenance. The forecasts were considered in the context of the complexity of the broad range of demand led services managed by the Council. Additionally, the forecasts reflected the complexity of managing variances in both the gross General Fund expenditure budget of £260m, income budgets of £187m and a resulting net budget of £73m.
- 3.2 On the basis of the actual expenditure at 31st December 2017 and forecasts for the final three months of the financial year an overspend of £0.124m was forecast. This forecast anticipated departmental budget overspends being partly offset by Corporate budget under spends and the use of departmental reserves.

- 3.3 The actual outturn is a net overall overspend of £0.109m, as summarised below and detailed in **Appendix A**:

	Quarter 3 Forecast Over/ (under) spend  £'000	Actual Over/ (under) Spend  £'000	Increase/ (decrease) in overall forecast overspend £'000
Departmental budgets	2,254	1,902	(352)
Corporate budgets	(730)	(393)	337
Sub Total	<b>1,524</b>	<b>1,509</b>	<b>(15)</b>
LAC Reserve	(1,400)	(1,400)	-
<b>Net overall Overspend</b>	<b>124</b>	<b>109</b>	<b>(15)</b>

- 3.4 As detailed in the above table the overall overspend is lower than the forecast at the end of Quarter 3. The position reflects an overspend on departmental budgets, which is owing to continued demand led pressures, an underspend on corporate budgets, which is not sustainable as recurring corporate savings have been built into the MTFS and the use of departmental reserves. As reported during the year the actual outturn reflects the following key issues:

### 3.5 **Chief Executives' Department**

- 3.6 The outturn under spend is predominately owing to voluntary redundancies and holding posts vacant to achieve 2018/19 savings.

### 3.7 **Child and Adult Services**

- 3.8 The outturn position for Children's Services was a net overspend of £2.610m, partly offset by over-achievement of the wider departmental salary abatement target and one-off income from planned reductions in Direct Payment contingencies (£0.630m in total).

- 3.9 The majority of the departmental overspend relates to continuing costs in relation to Looked After Children (LAC). These pressures are expected to continue into 2018/19. To address the financial impact of these pressures the MTFS is predicated on using the one-off LAC reserve with the aim of providing a longer lead time to either manage demand and/or determine a longer term funding strategy.

- 3.10 The overall outturn position reflects the use of £1.4m of the LAC reserve in 2017/18.

### 3.11 **Public Health – General Fund**

- 3.12 The overspend of £0.219m mainly relates to a shortfall in income and an overspend on running costs within Sport & Recreation.

### **3.13 Regeneration and Neighbourhoods**

- 3.14 There was a £0.238m overspend which includes various income pressures across the Department, including income from Planning Fees and Building Design and Consultancy income from fees charged on Capital Projects.
- 3.15 Pressures within Waste and Environmental Services include costs incurred at the Household Waste Recycling Centre.
- 3.16 The Department has managed the overspend in part by delaying some “discretionary spend” i.e. the replacement of Vehicles and other Small Plant until next financial year.
- 3.17 Detailed financial information on the projected outturn for individual Departments by Committee is provided in Appendices B to E.
- 3.18 The net overspend is after earmarking one-off resources to fund expenditure commitments rephased from 2017/18 to 2018/19. In accordance with accounting regulations these amounts must be carried forward as reserves. Details of these reserves are provided in Table 2 of Appendix A and total £0.358m.

## **4. STRATEGY FOR MANAGING THE 2017/18 GENERAL FUND OVERSPEND OF £0.109m**

- 4.1 The final position was a net overspend of £0.109m (£0.124m forecast), which has been funded from the unearmarked General Fund Reserve. The final outturn reflects the increasing financial pressures and risks facing the Council.

## **5. SPECIFIC GRANT REGIMES**

- 5.1 The Council secured specific grant funding for a range of one off initiatives and in a number of cases this income has been received in 2017/18. However, a number of initiatives cover more than one financial year. Therefore, in accordance with accounting regulations these resources will be carried forward as ‘Ring Fenced Grant Reserves’ to ensure resources are available to fund expenditure commitments in 2018/19.
- 5.2 Details of these grants are provided in Table 3 of Appendix A which has a combined total of £1.283m.

## **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 outturn are shown at Appendix G. The revenue outturn was a deficit of £1,000.

## **7. CORPORATE INCOME COLLECTION PERFORMANCE**

7.1 Previous reports advised Members that significant changes were implemented with effect from 1<sup>st</sup> 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 non-payment by businesses, or reductions arising from the Valuation Office re-assessing rateable values, falls on individual authorities. A 'safety net' system is in operation, although this only compensates authorities for any shortfalls above 7.5% of the safety net figure. Prior to 2013/14 any shortfall in Business Rates collected was funded at a national level from the overall Business Rates pool.

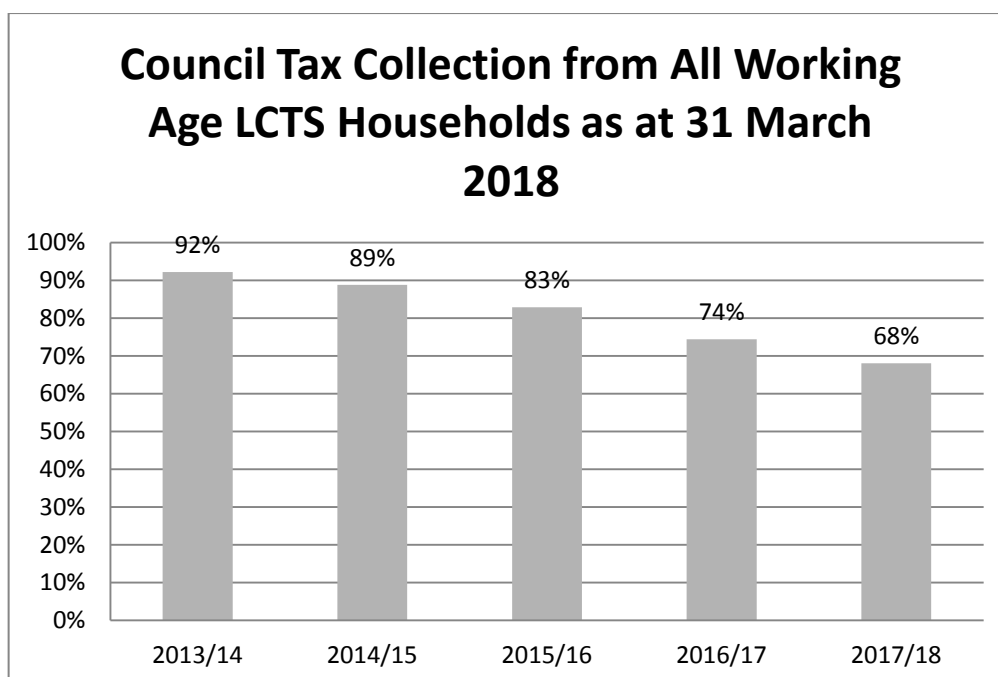
7.4 Collecting Business Rates has always been an important responsibility, and the Council collected 98.9% in 2017/18, an improvement of 0.5% on 2016/17. The national average for unitary and metropolitan councils in 2017/18 was 97.9%. Furthermore, long term collection rates for Business Rates are being sustained with 99.6% of Business rates being collected after 5 years (no national comparator is available).

### **7.5 Council Tax**

7.6. The Council Tax collection rate for 2017/18 was 95.7%, an improvement of 0.4% on 2016/17. However the Hartlepool collection level is still slightly lower than the 2017/18 national average for unitary and metropolitan councils of 96.1%.

7.7 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).

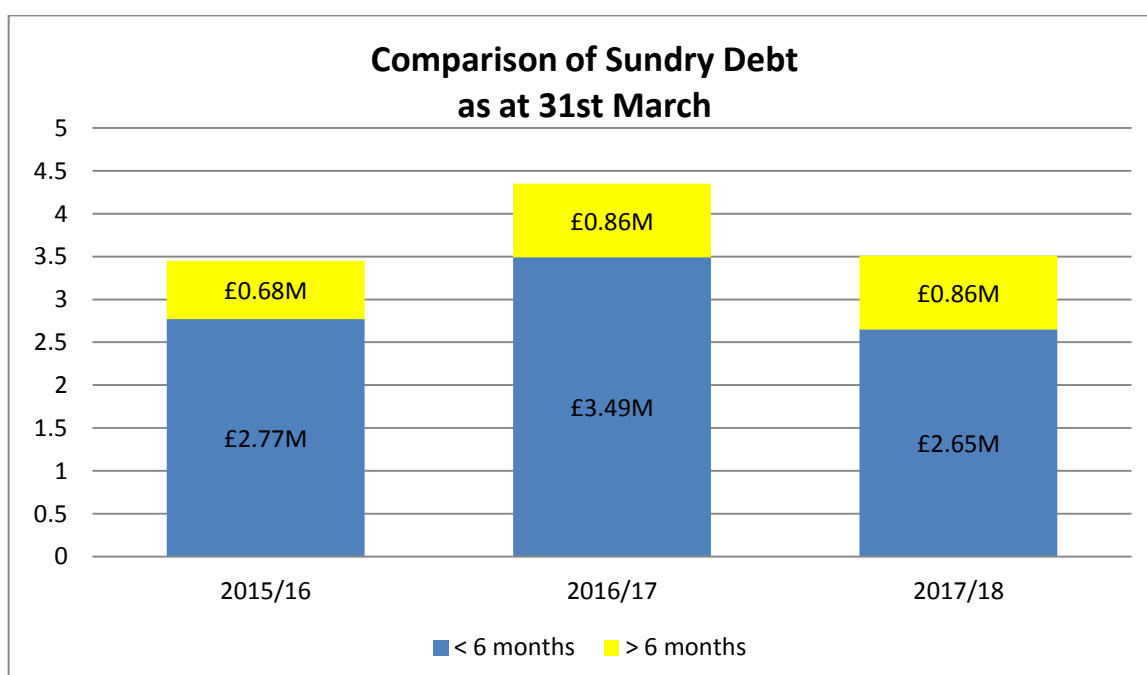
7.8 There are approximately 8,200 working age households who receive LCTS. The Council monitors closely levels of collection from these households which have been impacted by a range of national welfare reforms. The graph below shows that the cumulative collection from these households is positive and increasing; albeit there are the forecast time lags in securing collection.



## 7.9 Sundry Debts

7.10 The Council also collects significant Sundry Debts income for the payment of services provided by the Council. In total £33m of sundry debts were raised in 2017/18. At 31st March 2018, £30.58m (92.7%) of this amount had been collected.

7.11 Robust procedures for collecting the remaining outstanding debt are in place. The following graph shows the comparable positions at 31st March for the last three years for long-term debt and current debt which has been outstanding for less than six months.



- 7.12 Included within current debts (less than 6 months old) is debt where the customer has been invoiced in March in advance for 2018/19. Payment for these debts will be made in installments throughout the year.
- 7.13 Debts greater than six months old total £0.86m. 98.66% of this amount was under recovery action and 1.34% (£11,564) was considered unrecoverable and will be reported to Members for write off.

## 8. 2017/18 CAPITAL OUTTURN

- 8.1 Details of actual capital expenditure against the capital programme are provided in Appendices G to K and summarised below:

Department	BUDGET		EXPENDITURE IN CURRENT YEAR			
	A	B	C	E	F	G
					D+E	E-B
	2017/18 and Future Years Budget	2017/18 Budget	2017/18 Actual 31/03/2018	Expenditure Re-phased to 2018/19	2017/18 Total Expenditure	2017/18 Variance from Budget
	£'000	£'000	£'000	£'000	£'000	£'000
Child & Adult	7,956	7,956	2,971	4,985	7,956	0
Public Health	599	502	292	199	491	(11)
Regeneration & Neighbourhoods	28,670	19,051	10,754	8,297	19,051	0
Chief Executive	190	190	60	130	190	0
Corporate	4,242	813	490	323	813	0
<b>Total Capital Expenditure</b>	<b>41,657</b>	<b>28,512</b>	<b>14,567</b>	<b>13,934</b>	<b>28,501</b>	<b>(11)</b>

- 8.2 Capital expenditure of £13.934m will be re-phased to 2018/19 and capital resources will be carried forward to fund these commitments.
- 8.3 The favourable variance of £11,000 relates to the Community Hub – North Scheme which was completed under budget owing to a saving on materials costs. It is proposed that the underspend is returned to the CCF unallocated budget.
- 8.4 **Section 106 Developers Contributions**
- 8.5 The level of uncommitted funds as at 31<sup>st</sup> March 2018 was £1.194m. A table is attached at Appendix L showing that the amount brought forward from the previous financial year was £0.847m, with a further amount of £0.384m being received in year. To date amounts transferred to schemes total £36,900.

## 9. CAPITAL RECEIPTS TARGET

- 9.1 Regular updates on progress in achieving the capital receipts targets have been reported to Members over the last few years as part of the quarterly financial management reports and within Medium Term Financial Strategy reports. These

reports have highlighted the significant challenges of achieving capital receipts against the difficult economic environment which has existed over this period, which resulted in annual shortfalls against the initial annual capital receipts target.

- 9.2 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. As reported previously the remaining target is £2.753m. This amount is net of capital receipts for King Oswy Drive/Former Henry Smiths site which is being received as instalments.

The net capital receipts for the year are summarised in the following table:

Description	Capital Receipts Target £'000
Remaining Target	2,753
Actual Net Capital Receipts to 31 March 2018	(105)
<b>Capital Receipts Still to be Achieved to Meet Original Target</b>	<b>2,648</b>

- 9.3 Despite the shortfalls against the capital receipts target, the Council has benefitted from the expenditure commitments funded by capital receipts being incurred later than expected. In relation to the remaining expenditure commitments, not all of the remaining costs were incurred during 2017/18 and £1.263m has been rephased into future years. This resulted in a lower amount of temporary prudential borrowing of £1.385m at the end of the year (i.e. £2.648m remaining target less £1.263m rephased).
- 9.4 As previously reported the capital receipt in relation to the Hart land sale is anticipated to be the largest capital receipt achieved over the next three years but owing to the phased basis on which monies are likely to be received it will not make a significant contribution to the target until 2020/21.

## 10. CONCLUSION

- 10.1 As detailed in paragraph 3.3 there has been a 2017/18 net General Fund budget overspend of £0.109m which emphasises the increasing financial challenges facing the Council.
- 10.2 As reported in the February 2018 Medium Term Financial Strategy (MTFS) report the actual 2017/18 overspend reflects continued pressures on services, in particular Adult Social Care services and Children's Services. These pressures are continuing in 2018/19 and are affecting the majority of councils with responsibility for these services.
- 10.3 The capital receipts target still to be achieved to meet the original target is £2.648m following the receipt of £0.105m in year. It is anticipated that the

remaining balance will be achieved from planned receipts and progress will continue to be made.

## **11. RECOMMENDATIONS**

11.1 It is recommended that Members:

- i) Note the final 2017/18 overspend of £0.109m which was funded from the General Fund Reserve. This position reflects continued pressure on services and the Council's overall financial position.
- ii) Note as at 31<sup>st</sup> March 2018 capital receipts of £2.648m still remain to be achieved from future planned land sales.

## **12. BACKGROUND PAPERS**

Strategic Financial Management Report – as at 31<sup>st</sup> December 2017 report to Finance and Policy Committee 12.02.18.

Strategic Financial Management Report – as at 30<sup>th</sup> September 2017 to Finance and Policy Committee 20.11.17.

Strategic Financial Management Report – as at 31<sup>st</sup> July 2017 to Finance and Policy Committee 18.09.17.

## **13. CONTACT OFFICER**

Chris Little  
Director of Finance & Policy  
[Chris.Little@hartlepool.gov.uk](mailto:Chris.Little@hartlepool.gov.uk)  
Tel: 01429 523002



Summary of 2017/18 General Fund OutturnTable 1

	Q3 (after Reserves) - Overspend/ (Underspend)	Actual - Overspend/ (Underspend)	Increase/ (Decrease) in overall forecast overspend
	£'000	£'000	£'000
<b>Departmental Budgets</b>			
Chief Executive's Dept	(196)	(535)	(339)
Children's Services	2,700	2,610	(90)
Child & Adult Services - Dept	(600)	(630)	(30)
Public Health - General Fund	190	219	29
Regeneration and Neighbourhoods	160	238	78
<b>Total Departmental Budget Overspend</b>	2,254	1,902	(352)
LAC Reserve	(1,400)	(1,400)	0
<b>Non Departmental issues</b>			
Corporate Budgets	(730)	(393)	337
<b>Net Overspend</b>	124	109	(15)

**Recommended Contributions to Reserves****Table 2****Reserves Previously Approved Quarters 1 to 3**

	<b>Outturn</b> <b>£'000</b>
<b>General Fund Reserves</b>	
SACRE - Standing Advisory Council for Religious Education. The curriculum requires reviewing and updating in 2018/19, this funding is required to support the costs of the review.	5
An additional contribution towards the Children's Hub has been received from Stockton Borough Council to fund IT system improvements.	68
This is the forecast underspend across the Youth Service arising from holding posts vacant, reducing non-essential spend on supplies and services and maximising income. It is proposed to create a Youth Service reserve to support the work towards the Service potentially becoming a 'Mutual'; should the reserve not be required then it will be transferred to the existing LAC reserve.	30
Human Resources & Health and Safety - reserve to cover the extension of a fixed term contract until 31/03/19.	24
Resourcelink Development - reserve is to fund one-off work required to develop the Human Resources modules on Resourcelink.	80
Financial Systems Development Projects - efficiency improvements as advised from software suppliers.	40
Municipal Elections Reserve - created for future years election costs as per MTFS Strategy.	80
<b>TOTAL</b>	<b>327</b>

**New Reserves to be Created at Year End**

	<b>Outturn</b> <b>£'000</b>
<b>General Fund Reserves</b>	
Libraries - IT upgrade - system upgrades will be required in 2018/19, funding therefore carried forward.	7
Pentana 2018/19 - reserve is to fund software maintenance over 2018/19 and 2019/20.	10
To fund a Corporate Training Programme and Equality and Diversity Training Programme in 2018/19.	14
<b>TOTAL</b>	<b>31</b>

**Ring Fenced Departmental Grant Reserves****Table 3****Reserves Previously Approved Quarters 1 to 3**

	<b>Outturn</b> <b>£'000</b>
<b>Ring-fenced Grant Reserves</b>	
Public Health Grant - the underspend on this grant is transferred into a ringfenced reserve in line with the grant conditions.	290
FERIS Grant - Fraud and Error Reduction Incentive Scheme (FERIS), is earmarked to address DWP Housing Administration grant cuts to mitigate impacts on benefit service standards.	101
Individual Electoral Registration - grant to be used to undertake further data cleansing on the Electoral Register in 2018/19.	14
Future in Mind - this is income from NHS Hartlepool and Stockton CCG and the underspend has been transferred into a ringfenced reserve in line with conditions.	20
<b>TOTAL</b>	<b>425</b>

**New Reserves to be Created at Year End**

	<b>Outturn</b> <b>£'000</b>
<b>Ring-fenced Grant Reserves</b>	
Child - Funding Support for UASC (One-Off Grant announced in Jan 18)	188
Football Foundation Sinking Fund (Grant Condition)	23
Selective Licensing	12
Homelessness Grant - One-off IT Costs	9
Public Health Grant - Additional to amounts agreed above	407
Universal Credit Grant - is earmarked to address DWP Housing Administration grant cuts to mitigate impacts on benefit service standards.	95
Future in Mind - this is income from NHS Hartlepool and Stockton CCG and the underspend has been transferred into a ringfenced reserve in line with conditions.	124
<b>TOTAL</b>	<b>858</b>

## REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2017/18 as at 31 March 2018

Approved 2017/2018 Budget	Description of Service Area	Actual Outturn as at 31 March 2018 Adverse/ (Favourable)	Director's Explanation of Variance
£'000		£'000	
<b>Finance and Policy Committee</b>			
(163)	Benefits	(85)	A favourable variance of £186k was owing to vacant posts and some posts not being at the top of the grade, part of which has been used to address the DWP Housing Administration grant cuts in the 2018/19 budget. Finance and Policy Committee on 30th January, 2015 also approved any favourable variance on Fraud and Error Reduction Incentive Scheme (FERIS), be earmarked to address DWP Housing Administration grant cuts. There has also been £101k FERIS grant received in 2017/18, which was approved to be earmarked for the same purpose.
(903)	Central Administration Recharges	6	
35	Civic Attendants	3	
985	Corporate Finance	(106)	The favourable variance is owing to vacant posts and some posts not being at the top of the grade. This has been reflected in the 2018/19 MTFS.
626	Corporate Strategy & Public Consultation	(1)	The favourable variance is owing to supplies and services savings, £10k of which is being used to create a reserve for Pentana software maintenance over 2018/2019 and 2019/2020.
(143)	Housing Benefits Subsidy	(285)	A favourable variance of £40k is owing to additional Housing Benefit Grant Subsidy being received after the 2016/17 final claim was audited, which was approved as an earmarked reserve to part fund a fixed term two year contract in relation to one-off work required to develop the Human Resources modules on Resourcelink. Additional Universal Credit Grant of £95k is being used to address DWP Housing Administration grant cuts. The remaining variance is owing to the final claim on Housing Benefit Subsidy Grant which generates £38m in subsidy.
195	Democratic	(14)	The favourable variance is owing to additional schools appeals income and some savings made on the printing budget.
77	Fraud	(22)	The favourable variance is owing to supplies and services savings.
895	Customer and Support Services	(57)	The favourable variance is owing to vacant posts for part of the year.
505	Human Resources & Health and Safety	(1)	The favourable variance is owing to vacant posts and some posts not being at the top of the grade, offset by a reduction in income. £10k had been approved to create a reserve to extend a fixed term contract until August 2018, with a further £14k from outturn to extend the contract to March 2019. £27k was requested to part fund a fixed term two year contract in relation to one-off work required to develop the Human Resources modules on Resourcelink with a further £13k from outturn.
226	Internal Audit	(8)	The favourable variance is owing to supplies and services savings.
421	Legal Services	(1)	
202	Municipal Elections and Registration of Electors	(2)	A reserve of £80k has been created for Municipal Elections in future years, which enabled a saving to be made. This saving has been included in the 2018/19 MTFS. Individual Electoral Registration Grant of £14k has been received in 2017/18 a reserve has been created to undertake further work on the register in 2018/19.
(83)	Other Office Services	82	An adverse variance of £82k is owing to a reduction 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	(20)	The favourable variance is owing to a vacant post for part of the year and to some supplies and services savings.
86	Public Relations	20	The adverse variance is owing to reduced income generation.
(110)	Registration Services	19	Owing to services moving to North Tees Hospital, there is a projected adverse variance owing to reduced income generation on both birth and death registration.
(44)	Reprographics	(21)	The favourable variance is owing to supplies and services savings.
898	Revenues	(8)	The favourable variance is owing to vacant posts for part of the year.
(446)	Revenue & Benefits Central	17	The adverse variance is owing to a reduction in the NNDR Council Tax Administration Grant.
71	Scrutiny	(8)	This small variance is in relation to staffing savings.
599	Shared Services	(16)	The favourable variance is owing to a software maintenance saving and additional income for payroll services. A reserve has been created using this favourable variance to support one-off system development projects in 2018/19.
124	Support to Members	7	

**CHIEF EXECUTIVES****4.1 Appendix B**

16	Training & Equality	(10)	The favourable variance is owing to training and diversity savings, with a reserve being created for a Corporate Training Programme and Equality & Diversity in 2018/19.
332	Corporate Management Running Expenses	(26)	The favourable variance is owing to a post not being at the top of the grade and a reduction in corporate subscriptions.
<b>4,493</b>	<b>Finance and Policy Committee Total</b>	<b>(535)</b>	
<b>MEMO:-</b>			
<b>Creation of Reserves - Previously approved by F&amp;P (Q1, Q2 &amp; Q3)</b>			
	FERIS Grant Project	101	Fraud and Error Reduction Incentive Scheme (FERIS), to be earmarked to address DWP Housing Administration grant cuts to mitigate impacts on benefit service standards.
	Human Resources & Health and Safety	24	Extension of fixed term contract to 31/03/19.
	Resourcelink Development	80	To fund a fixed term two year contract in relation to one-off work required to develop the Human Resources modules on Resourcelink.
	Financial Systems Development Projects	40	To fund one-off Systems Development Projects in 2018/19.
	Municipal Elections and Registration of Electors	80	To fund Municipal Elections in future years.
	Individual Electoral Registration	14	Individual Electoral Registration Grant to be used to undertake further data cleansing on the Electoral Register.
<b>Creation of Reserves - Year End</b>			
	Universal Credit Grant Project	95	Universal Credit Grant, to be earmarked to address DWP Housing Administration grant cuts to mitigate impacts on benefit service standards.
	Corporate Strategy & Public Consultation	10	To fund Pentana system maintenance over 2018/2019 and 2019/2020.
	Training and Equality	14	To fund a Corporate Training Programme and Equality & Diversity Training in 2018/19.
	<b>Chief Executives Total - Creation of Reserves</b>	<b>458</b>	

**CHIEF EXECUTIVES**  
**PLANNED USE OF RESERVES**

**4.1 Appendix B**

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	Actual Usage 2017/2018 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
<b>Finance and Policy Committee</b>				
33	Corporate Strategy - ICT System Development	9	(24)	Reserve rephased into 2018/19.
3	Corporate Strategy - Performance Management	3	0	To support related costs for performance management over a 3 year period.
10	Public Relations	2	(8)	Reserve rephased into 2018/19.
2	Civic Responsibilities	0	(2)	This reserve is committed to be used in 2018/19 for Civic items.
5	Registration Services	0	(5)	Reserve rephased into 2018/19.
18	People Framework Development	18	0	This will be used to fund the new Organisational Excellence Forum, Management and Leadership Development Programme.
16	Finance - IT Investment Shared Services	0	(16)	Development work on E-Series and Webview delayed until 2018/19
91	Chief Executive's Department Ring Fenced Grants	59	(32)	The reserve was created to fund a shortfall in the 2017/18 DWP Housing Admin Grant and was not required to be used in 2017/18 as the Council received Universal Credit Implementation Grant. This reserve will be used in 2018/19. The Individual Electoral Registration Grant reserve has been used in 2017/18 for Electoral Canvassers and a household notification letter.
<b>178</b>	<b>Total</b>	<b>91</b>	<b>(87)</b>	

## REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2017/18 as at 31 March 2018

Approved 2017/2018 Budget	Description of Service Area	Actual Outturn as at 31 March 2018 Adverse/ (Favourable)	Director's Explanation of Variance
£'000		£'000	
<b>Adult Committee</b>			
0	Carers & Assistive Technology	(27)	
3,233	Commissioning & Adults General	25	
1,465	Commissioning-Mental Health	0	Budget Pressures have previously been identified in this area (c£150k) however they are funded in the current year from one-off iBCF Grant.
9,881	Commissioning-Older People	(25)	
8,074	Commissioning-Working Age Adult	134	There is a significant degree of volatility associated with the learning disability budget including high cost packages of care, the Transforming Care Agenda and the number and complexity of transitions from childrens services to adult services. The one-off iBCF grant has been used to offset some of the overspend arising from these pressures.
221	Complaints & Public Information	4	
444	Departmental Running Costs	69	The cost of employing Modern Apprentices was funded from the overall outturn rather than planned contribution from reserves.
605	Direct Care & Support Team	(96)	Salary underspends arising from incremental drift and vacancies.
397	LD & Transition Social Work	1	
2,576	Locality & Safeguarding Teams	0	Salary underspends arising from incremental drift and vacancies have been transferred towards the departmental salary abatement target. The costs of DoLS, which includes an overspend arising from unbudgeted costs from the High Court Judgement, is being funded in the current year from the one-off iBCF grant allocated for Protection of Adult Social Care (£105k).
690	Mental Health Services	0	
439	OT & Disability Equipment	(47)	
266	Workforce Planning & Dev	0	
1,169	Working Age Adult Day Services	(38)	
(125)	Departmental Reserves required to fund shortfall in 2016/17 savings.	0	The iBCF grant is contributing in the current year towards this budget pressure.
29,335	<b>Adult Committee Sub Total</b>	<b>0</b>	

Approved 2017/2018 Budget  £'000	Description of Service Area	Actual Outturn as at 31 March 2018 Adverse/ (Favourable)  £'000	Director's Explanation of Variance
<b>Children's Committee</b>			
11,757	Children & Families	3,178	The budget was set on the basis of requiring £1.4m from reserves in order to balance the budget arising from pressures within Looked After Children. The overspend has increased significantly since the budget was set mainly as a result of rising LAC numbers and the increasing complexity of need of some children.
2,903	Early Intervention Services	(513)	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.
5	Play & Care	8	
296	Youth Offending Service	(63)	Expected grant funding reductions did not occur in 2017/18 and there have been some savings from staff vacancies.
121	Access to Education	7	
120	Central Support Services	0	
512	Other School Related Expenditure	(16)	Small underspend on PRC commitments which has been built into the 2018/19 budget.
527	Raising Educational Achievement	43	Adverse variance mainly owing to under achievement of income targets. This is being addressed in 2018/19
244	Special Educational Needs	(4)	
164	Human Resources & Health and Safety	(30)	Favourable outturn as 2018/19 savings have been achieved in advance.
16,649	Resourcelink Development	2,610	
0	Departmental Reserves required to fund LAC pressures	(1,400)	
0	Additional Contribution towards Departmental Salary Abatement Target & One-Off Income	(630)	This is the achievement of salary savings over and above those budgeted at the start of the year and one-off income received from planned reductions in Direct Payment contingencies.
16,649	<b>Children's Committee Sub Total (after release of reserves)</b>	<b>580</b>	
45,984	<b>Child and Adult Total</b>	<b>580</b>	
<b>MEMO:-</b>			
<b>Creation of Reserves - Previously approved by F&amp;P (Q1, Q2 &amp; Q3)</b>			
	Youth Service - Support towards the possible creation of a 'Mutual' Youth Service	30	Through a combination of holding vacant posts, ceasing non-essential spend and maximising income opportunities the Youth Service proposed to create a reserve to support the work towards the Service potentially becoming a 'Mutual' and for youth activities; should the reserve not be required then it will be transferred to the existing LAC reserve.
	Children's Hub - Improve IT Options	68	An additional contribution towards the Hub was received from Stockton Borough Council. It was proposed to transfer this to the existing Children's Hub reserve to enable the implementation of an essential IT upgrade to the 'Dashboard' system which will create an interface between the two local authority social care systems removing the need to duplicate data recording.
	SACRE - Standing Advisory Council for Religious Education	5	The curriculum requires reviewing and updating in 2018/19, this funding is required to support the costs of the review.
	Future in Mind	20	This is income from NHS Hartlepool and Stockton CCG and the underspend has been transferred into a ringfenced reserve in line with conditions.
<b>Creation of Reserves - Year End</b>			
	Unaccompanied Asylum Seeking Children Grant - Capacity Building	188	This grant was received in February 2018 to build and develop the ability to care for unaccompanied asylum seeking children and care leavers for whom authorities have responsibility.
	Future in Mind	124	This is income from NHS Hartlepool and Stockton CCG and the underspend has been transferred into a ringfenced reserve in line with conditions.
	<b>Child &amp; Adults Total - Creation of Reserves</b>	<b>435</b>	



**CHILD & ADULT SERVICES**  
**PLANNED USE OF RESERVES**

**4.1 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	Actual Usage 2017/2018 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
<b>Adult Committee</b>				
125	Departmental Reserves to Fund 16/17 Savings Shortfall	0	(125)	Use of the iBCF grant allocated towards the Protection of Adult Social Care, 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)	0	(55)	The costs of employing the Apprentices will be funded from within the overall outturn.
140	Deprivation of Liberty Safeguards (DoLS)	0	(140)	DoLS to be funded from the one-off iBCF grant to protect the value of the reserve.
31	Care Bill Implementation	0	(31)	The costs are to be funded from the overall outturn to protect the value of the reserve which will enable the post to be funded in 2018/19.
<b>351</b>	<b>Adult Committee Sub Total</b>	<b>0</b>	<b>(351)</b>	
<b>Children's Committee</b>				
105	Early Intervention Reserve	0	(105)	Costs funded as part of the release of the £1.4m LAC reserve.
38	Wellbeing Fund	15	(23)	Reserve not required, to be used in 2018/19.
27	Data Team	0	(27)	Reserve not required in 2017/18, rephased in 2018/19.
45	SEND Team	0	(45)	Reserve not required, to be used in 2018/19 to fund a member of staff.
80	Education Commission	146	66	Expenditure on the programme was brought forward into 2017/18.
167	Transforming Tees	213	46	Expenditure on the programme was brought forward into 2017/18.
<b>462</b>	<b>Children's Committee Sub Total</b>	<b>374</b>	<b>(88)</b>	

MEMO:-	Dedicated Schools Grant	Actual Outturn as at 31 March 2018 Adverse/ (Favourable)	Director's Explanation of Variance
<b>5,569</b>	Early Years	(228)	This is owing to an underspend of £0.185m in relation to 3 and 4 year-olds funding, and £0.042m underspend on centrally retained.
<b>8,310</b>	High Needs	<b>654</b>	This is mainly owing to an increase in the number of Independent School places increasing significantly in 2017/18 (from 17 in 2016/17 to 33 in 2017/18), resulting in an overspend of £0.440m. In addition, the IPS funding pressure previously identified has continued into 2017/18 resulting in an overspend of £0.238m. Additionally, there was an overspend of £0.160m in Special Schools, as both Catcote and Springwell were over place numbers. These overspends were slightly offset by an underspend of £0.085m in Post-16 placements where a number of high cost learners left their placements. Additionally, the PRU Top Ups were underspent by £0.077m, as attendance was lower than anticipated. As agreed at Schools Forum the HNB overspend of £0.654m has been funded from DSG Reserves.
<b>34,059</b>	Schools	(15)	This is owing to previous year's rates adjustments.

**PUBLIC HEALTH**  
**REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2017/18 as at 31 March 2018**

**4.1 Appendix D**

Approved 2017/2018 Budget  £'000	Description of Service Area	Actual Outturn as at 31 March 2018 Adverse/ (Favourable)  £'000	Director's Explanation of Variance
<b>Finance and Policy Committee</b>			
<b>Public Health Grant</b>			
<b>3,468</b>	Children's Public Health	<b>0</b>	The adverse variance of £136k on the 0-19 Services was funded from Public Health Grant Reserves in 2017/18.
<b>0</b>	Community Hubs	<b>31</b>	Adverse variance relates to one-off costs associated with the opening of Community Hubs in 2017/18.
<b>92</b>	Health Check Programme	<b>(26)</b>	Favourable variance relates to an underspend in relation to non-statutory Health Checks. This saving has been used to support the agreed savings programme necessary to meet the Public Health Grant cut in 2018/19.
<b>722</b>	Misc Public Health Services	<b>(42)</b>	Favourable variance relates to an underspend on the Primary Prevention Programme. These savings have been used to support the agreed savings programme necessary to meet the Public Health Grant cut in 2018/19
<b>101</b>	Obesity	<b>(6)</b>	Favourable variance relates to an underspend on Supplies and Services within Health Trainers.
<b>173</b>	Physical Activity	<b>(93)</b>	Favourable variance relates to an underspend in relation to one-off Sports Development initiatives. This funding has been redirected to fund ongoing services delivered within Sport and Recreation on a recurring basis.
<b>156</b>	Prescribing	<b>(84)</b>	Variance relates to an underspend on the prescribing costs associated with Smoking Cessation.
<b>863</b>	Public Health Advice	<b>(131)</b>	Favourable variance relates to an underspend on staffing costs associated with the Senior Management Restructure and an underspend on the Shared Service contract which ended in 2017/18.
<b>636</b>	Sexual Health	<b>5</b>	
<b>253</b>	Smoking & Tobacco	<b>(11)</b>	Favourable variance represents the agreed contract savings for 2017/18. These savings have been used to support the agreed savings programme necessary to meet the Public Health Grant cut in 2018/19.
<b>2,531</b>	Substance Misuse	<b>(340)</b>	Favourable variance includes temporary underspends on staffing costs and some recurring efficiencies (£200k) achieved following the transfer of the service in-house. These savings have been used to support the approved savings programme necessary to meet the Public Health Grant cut in 2018/19.
<b>(8,995)</b>	Public Health Main Grant	<b>697</b>	
<b>0</b>	<b>Public Health Grant Subtotal</b>	<b>0</b>	
<b>Public Health General Fund</b>			
637	Consumer Services	<b>(23)</b>	Variance relates to underspends on pay and supplies and services budgets, offset by a shortfall in Licensing Income.
637	<b>Public Health General Fund Subtotal</b>	<b>(23)</b>	
637	<b>Finance and Policy Committee Sub Total</b>	<b>(23)</b>	
<b>Regeneration Committee</b>			
<b>Public Health General Fund</b>			
<b>(3)</b>	Environmental Protection	<b>(6)</b>	Variance relates to an underspend on general supplies and services budgets offset by a shortfall in Pest Control Income.
<b>(34)</b>	Environmental Standards	<b>8</b>	Adverse variance relates to a shortfall in income from Markets.
476	Sport, Leisure & Recreation Facilities	240	The adverse variance relates to a shortfall in income and overspend on running costs across the Sport and Recreation Service Area. The variance includes adverse variances at the Borough Hall (£72k) and Carlton (£64k), Mill House (£92k). Some of the costs associated with services delivered at Mill House will be funded from a contribution from the Public Health Grant in 2018/19.
439	<b>Public Health General Fund Subtotal</b>	242	
439	<b>Regeneration Committee Sub Total</b>	242	
1,076	<b>Public Health Total</b>	219	

MEMO:-			
Creation of Reserves - Previously approved by F&P (Q1, Q2 & Q3)			
	Public Health Ringfenced Grant	290	The Public Grant is ringfenced and any underspend will be transferred into a ringfenced reserve in line with the grant conditions.
Creation of Reserve Human Resources & Health and Safety			
	Resourcelink Development	407	The Public Grant is ringfenced and any underspend will be transferred into a ringfenced reserve in line with the grant conditions.
	Football Foundation Grant - Sinking Fund	23	
	Public Health Total - Creation of Reserves	720	

PUBLIC HEALTH  
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	Actual Usage 2017/2018 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
Finance and Policy Committee				
86	PCT Reserve - Employee Wellbeing Strategy	42	(44)	This variance relates to the profile of expenditure over years.
100	Drugs Action Team Reserve - Tier 4 Support	30	(70)	This variance relates to the profile of expenditure over years.
1,350	Public Health Grant	657	(693)	This variance relates to the profile of expenditure over years.
Regeneration Committee				
10	Sport and Recreation Reserve	15	5	This variance relates to the profile of expenditure over years.
1,546	Total	744	(802)	

## REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2017/18 as at 31 March 2018

Approved 2017/2018 Budget	Description of Service Area	Actual Outturn Adverse/ (Favourable)	Director's Explanation of Variance
£'000		£'000	
<b>Finance &amp; Policy Committee</b>			
924	Community Safety & Engagement	(36)	The favourable variance relates to grant income received in 2017/18.
693	Strategic Management, Admin & Service Development	(54)	The favourable variance relates to an underspend on salary costs.
(141)	Logistics	2	
(134)	Estates & Asset Management	30	The adverse variance relates to a shortfall in fee income from Capital and external work.
(366)	Building Consultancy	258	The adverse variance relates to a shortfall in fee income from Capital and external work. A review of this area is underway to evaluate the fee earning capacity in future years.
616	Facilities Management - Building Cleaning	29	The adverse variance relates to a shortfall in income. A pricing review is underway to address this shortfall in future years.
67	Facilities Management - Building Maintenance	(169)	The favourable variance relates to a surplus generated by the Building Maintenance Trading Service. This reflects a reduction in overheads in 2017/18 and an increase in income generated from Capital and external works undertaken in year.
0	Facilities Management - Functions Catering/Garden Centre	62	The adverse variance relates to the deficit reported on the Garden Centre.
159	Facilities Management - Other - Security, Public Conveniences, Highways Advertising etc.	(33)	The favourable variance relates to income generated in year from Highways Advertising income.
51	Facilities Management - School Catering	0	The surplus generated in year has been transferred to Capital to fund the costs of Kitchen equipment replacements in future years.
<b>1,869</b>	<b>Finance &amp; Policy Committee Sub Total</b>	<b>89</b>	
<b>Regeneration Committee</b>			
(49)	Adult Education	(1)	
20	Archaeology	0	
25	Community Centres	(4)	
667	Cultural Services	78	The adverse variance is mainly owing to a shortfall in income at the Town Hall Theatre.
920	Libraries	2	
54	Building Control	12	The adverse variance relates to a shortfall in income generated from fees.
154	Planning Services	201	The adverse variance relates to a shortfall in income from planning fees.
461	Housing Services	(82)	The favourable variance relates largely to additional grant income received in 2017/18.
513	Economic Regeneration	0	
(103)	Economic Regeneration - External Funding	102	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 previously approved.
422	Heritage & Countryside	(2)	
<b>3,084</b>	<b>Regeneration Committee Sub Total</b>	<b>306</b>	

Approved 2017/2018 Budget	Description of Service Area	Actual Outturn Adverse/ (Favourable)	Director's Explanation of Variance
£'000		£'000	
<b>Neighbourhood Committee</b>			
(408)	Cemetery and Crematoria	0	The favourable variance on the maintenance budget and additional income generated from fees and charges (£28k), has been transferred to Capital to fund the costs associated with the Chapel Refurbishment.
66	Human Resources & Health and Safety	(1)	
31	Resourcelink Development	(1)	
(507)	Car Parking & Enforcement	141	The adverse variance relates partly to one-off costs incurred in year (£50k) and a shortfall in income. This adverse variance has been partly offset by an underspend on staffing in 2017/18.
397	Engineering Services (incl Coastal Protection and Contaminated Land)	(93)	This variance relates to an underspend on the costs associated with managing Contaminated Land in 2017/18 and an overachievement on TOS income generated by Engineers. The underspend on the Coastal Protection revenue maintenance budget has been transferred to Capital to provide the match funding required on the Headland Capital scheme.
1,518	Grounds Maintenance	0	The favourable variance in relation to vehicles and temporary staffing costs, have been transferred to Capital to fund the costs associated with the Innovation and Skill Quarter Regeneration Project.
1,995	Highway Maintenance & Insurance	45	The adverse variance relates to an overspend on Highways client budgets including Winter Maintenance and Unscheduled Highways Maintenance.
(328)	Highways Trading	52	The adverse variance relates to a shortfall in income from Capital projects and external work.
423	Highways Traffic & Transp Management	(47)	The favourable variance relates to additional income generated in year.
1,358	Passenger Transport	(100)	The favourable Variance relates to the Home to School Transport budget which is a demand led service.
116	Road Safety	(12)	The favourable variance relates to an underspend on staffing costs.
(61)	Vehicle Fleet	(234)	The favourable variance partly relates to a temporary saving on vehicle borrowing costs as vehicles are kept for longer and purchases were delayed until April 2018, where appropriate. 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 Department's future savings programme.
(1)	NDORS (National Driver Offender Rehabilitation) Scheme	0	
1,204	Network Infrastructure	115	The adverse variance reflects a funding transfer to Capital to fund one-off street lighting costs required as part of the Innovation and Skills Quarter Regeneration Project. These costs have been partly funded from energy savings generated by the LED replacement programme.
0	Section 38's	(60)	The favourable variance relates to the net income received on adopted schemes in 2017/18.
(1)	Traffic Management	17	
2,427	Sustainable Transport	(132)	The 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.
1,347	Street Cleansing	15	
4,855	Waste & Environmental Services	138	The adverse variance reflects various budget pressures facing this service including changes at the Household Waste Recycling Centre which have been partly offset by a favourable variance on income from the sale of recyclable materials.
14,431	<b>Neighbourhood Committee Sub Total</b>	(157)	
19,384	<b>Regeneration &amp; Neighbourhoods Total</b>	238	

MEMO:-			
Creation of Reserves - Year End			
	Selective Licensing	12	This represents an in year surplus which will be carried forward and earmarked to fund the costs associated with running the scheme over the 5 year period.
	Homelessness Grant	9	This grant was received late in 2017/18 to support one-off IT costs associated with the new Homelessness Act. This grant has been carried forward as a ringfenced reserve to fund the cost in 2018/19.
	Libraries - IT Upgrade	7	System upgrades will be required in 2018/19. Funding will therefore be carried forward to provide fund for this cost in future years.
	Regeneration and Neighbourhoods Total - Creation of Reserves	28	

**REGENERATION AND NEIGHBOURHOODS**  
**PLANNED USE OF RESERVES**

**4.1 Appendix E**

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	Actual Usage 2017/2018 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
<b>Finance &amp; Policy Committee</b>				
72	Ward Member Budgets (incl Civic Lottery)	31	(41)	This variance relates to the profile of expenditure over years.
29	Community Safety Specific Grants	29	0	
<b>Regeneration Committee</b>				
20	Adult Education	0	(20)	This variance relates to the profile of expenditure over years.
186	Local Plan	156	(30)	This variance relates to the profile of expenditure over years.
162	Economic Regeneration Schemes/YEI	46	(116)	This variance relates to the profile of expenditure over years.
20	Libraries	20	0	
3	Archaeology	7	4	This variance relates to the profile of expenditure over years.
5	Works in Default - Empty Properties	0	(5)	This variance relates to the profile of expenditure over years.
166	National Museum of the Royal Navy Hartlepool	166	0	
0	Museums Acquisition Fund	19	19	This variance relates to the profile of expenditure over years.
<b>Neighbourhood Committee</b>				
43	Environmental Apprentices	43	0	
50	Fleet	0	(50)	This variance relates to the profile of expenditure over years.
149	Environmental Enhancements	149	0	
<b>905</b>	<b>Total</b>	<b>666</b>	<b>(239)</b>	



## REVENUE FINANCIAL OUTTURN REPORT FOR FINANCIAL YEAR 2017/18

	Budget	Outturn	Actual Outturn Variance	Director's Explanation of Variance
	£'000	£'000	£'000	
<b>Income</b>				
Dwelling Rents	(1,080)	(992)	88	Higher level of Voids; issue is being addressed.
Charges for services and facilities	(2)	(7)	(5)	Income from Cube
Other Income	(12)	(75)	(63)	Includes one-off additional income from PV solar panels following successful backdated claims by the councils officers covering the period when this was the responsibility of the previous 'housing management' external provider.
<b>Income sub total</b>	<b>(1,094)</b>	<b>(1,074)</b>	<b>20</b>	
<b>Expenditure</b>				
Repairs and maintenance	101	191	90	Higher repairs and inspection costs mainly owing to high level of voids and processing of jobs.
Supervision and management	245	254	9	Recharges increased.
Rents, rates, taxes and other charges	15	31	16	Results from higher void levels.
Increase in provision for bad or doubtful debts	30	28	(2)	Impact of Universal credit less than forecasted.
Depreciation of fixed assets (Major Repairs Allowance)	258	250	(8)	
Debt Management	10	9	(1)	
<b>Expenditure sub total</b>	<b>659</b>	<b>763</b>	<b>104</b>	
<b>Net cost of services</b>	<b>(435)</b>	<b>(310)</b>	<b>124</b>	
Interest payable	355	327	(28)	Lower expenditure financed by borrowing owing to reprofiling of Empty Properties scheme.
HRA investment income	(6)	(16)	(10)	
<b>HRA Operating (Surplus) / Deficit for the year</b>	<b>(86)</b>	<b>1</b>	<b>86</b>	
<b>Movement on the HRA Reserve</b>				
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)	1	87	See above comments regarding increased void expenditure.
<b>HRA Reserve Closing Balance</b>	<b>(616)</b>	<b>(537)</b>	<b>79</b>	

## CAPITAL OUTTURN REPORT PERIOD ENDING 31st MARCH 2018

Project Code	Scheme Title	BUDGET		EXPENDITURE IN CURRENT YEAR				Type of Financing	2017/18 COMMENTS
		A	B	C	D	E	F		
		2017/18 and Future Years Budget £'000	2017/18 Budget £'000	2017/18 Actual as at 31/3/18 £'000	Expenditure Rephased into 2018/19 £'000	(C+D) 2017/18 Total Expenditure £'000	(E-B) 2017/18 Variance from Budget £'000		
Adult Committee									
7234	Chronically Sick and Disabled Persons Adaptations	297	297	7	290	297	0	MIX	
8108	Centre for Independent Living - New Build	213	213	16	197	213	0	MIX	
	Adult Committee Sub Total	510	510	23	487	510	0		
Children's Committee									
8072 & 8218	Children's Centre's Capital	44	44	2	42	44	0	MIX	
7624	0-19 Service - ICT	56	56	56	0	56	0	RCCO	
8906	CETL - Windows	17	17	16	1	17	0	RCCO	
8587	Brougham Primary School - Air Handling Unit Replacement	36	36	2	34	36	0	GRANT	WIP
7388	Clavering Primary - Electrical Rewire	135	135	95	40	135	0	GRANT	WIP
7387	Clavering Primary - KS2 Remodelling and Hall Expansion	324	324	120	204	324	0	GRANT	Phase 1 (KS2 Remodel) is complete. Hall in 2018
8907	Clavering Primary - Roof Replacement	32	32	25	0	25	(7)	GRANT	
7384	Devolved Schools Capital	270	270	91	179	270	0	GRANT	
7425	Eldon Grove Primary School - Increase Fence Line	26	26	26	0	26	0	RCCO	Scheme Complete.
8948	Eldon Grove Primary School - Dining Room Extension	231	231	155	0	155	(76)	RCCO	Scheme Complete. Underspend to be returned to unallocated.
7391	Fens Primary School - Heating Distribution (Phase 3 of 3)	70	70	59	0	59	(11)	GRANT	Scheme Complete. Underspend to be returned to unallocated.
7390	Fens Primary School - Resurfacing	35	35	32	0	32	(3)	GRANT	Scheme Complete. Underspend to be returned to unallocated.
7399	Fens Primary School - Schools led Premises Work	16	16	16	0	16	0	RCCO	
8947	Fens Primary School - Heating Distribution (Phase 2 of 3)	9	9	1	0	1	(8)	GRANT	Scheme Complete. Underspend to be returned to unallocated.
7393	Golden Flatts Primary School - Electrical Rewire	95	95	96	0	96	1	GRANT	Scheme Complete. Overspend to be taken from unallocated.
8947	Golden Flatts Primary School - Heating Distribution	6	6	6	0	6	0	GRANT	Scheme Complete.
8907	Golden Flatts Primary School - Roofing Replacement	40	40	30	0	30	(10)	GRANT	Scheme Complete. Underspend to be returned to unallocated
8906	Grange Primary School - Window Replacement	25	25	3	22	25	0	GRANT	Awaiting School Decision
8907	Grange Primary School Roofing Replacement	60	60	48	0	48	(12)	GRANT	Scheme Complete. Underspend to be returned to unallocated
8457	Grange Primary School - Boiler Renewal	68	68	87	0	87	19	GRANT	Scheme Complete. Overspend to be taken from unallocated
7399	Greatham Primary School - Schools Led Premises Work	52	52	52	0	52	0	RCCO	
7394	Hart Primary School - SEND Adaptations	25	25	24	1	25	0	MIX	WIP
7395	High Tunstall School - Demolish Two Mobile Units	28	28	23	0	23	(5)	GRANT	Scheme Complete. Underspend to be returned to unallocated
7396	High Tunstall School - Roofing - Block D	300	300	265	35	300	0	MIX	

**CAPITAL OUTTURN REPORT PERIOD ENDING 31st MARCH 2018**

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 31/3/18 £'000	D Expenditure Rephased into 2018/19 £'000	E (C+D) 2017/18 Total Expenditure £'000	F (E-B) 2017/18 Variance from Budget £'000		
7392	High Tunstall School - Toilet Refurbishment - Block D	15	15	0	15	15	0	MIX	
8906	High Tunstall School - Window Replacement - Block D	140	140	0	140	140	0	RCCO	
8906	Kingsley Primary School - Window Replacement	1	1	1	0	1	0	GRANT	
8457	Lynnfield School - Boiler Renewal	63	63	43	0	43	(20)	MIX	Scheme Complete. Underspend to be returned to unallocated
7392	Lynnfield School - Toilet Refurbishment	60	60	6	54	60	0	GRANT	On Hold - New Head to review scheme.
8907	Lynnfield School - Roof Replacement	90	90	0	90	90	0	GRANT	
7586	Purchase of Computer Equipment - City Learning Centre	4	4	0	4	4	0	RCCO	
8604	Pupil Referral Unit - Replacement Doorsets with Security Doors	4	4	4	0	4	0	GRANT	Scheme Complete.
8947	Rift House Primary School - Heating Distribution (1 of 2)	54	54	42	12	54	0	GRANT	
8907	Rift House Primary School - Roofing Replacement	58	58	1	0	1	(57)	GRANT	Scheme Complete. Underspend to be returned to unallocated.
8891	Rift House Primary School - Classroom Extension	578	578	460	118	578	0	MIX	
8906	Rift House Childrens Centre - Window Replacement	32	32	1	31	32	0	GRANT	On-hold.
7177	Rift House - Fire Damage	325	325	84	241	325	0	MIX	
	Rift House - Language Lab	35	35	0	35	35	0	RCCO	
7392	Rossmere Primary School - Toilet Refurbishment	6	6	6	0	6	0	GRANT	Scheme Complete.
7399	Rossmere Primary School - Schools Led Premises Work	5	5	5	0	5	0	RCCO	
8692	Rossmere Primary School - Forest School	3	3	3	0	3	0	GRANT	Scheme Complete.
8906	Rossmere Primary School - Window Replacement	25	25	9	16	25	0	GRANT	Scheme being re-priced.
7386	Rossmere Youth Centre - OSCARS Toilet	7	7	7	0	7	0	RCCO	
7421	School Travel Plans	2	2	0	2	2	0	GRANT	
8138	Schools General - BSF - ICT	53	53	4	49	53	0	GRANT	
9004	Schools General - Contingency	61	61	0	61	61	0	GRANT	This reflects the remaining contingency funding that was not needed during the course of the year and will be transferred to unallocated.
9004	Schools General - Funding Currently Unallocated	152	152	0	314	314	162	MIX	This reflects net underspend that will be transferred from completed schemes.
9004	Schools General - RCCO Earmarked for Asbestos Surveys	1	1	1	0	1	0	RCCO	
9004	Schools General - Suitability RCCO Unallocated	699	699	0	847	847	148	RCCO	This reflects under spends at Eldon Grove and St Cuthberts Toilet scheme not going ahead.
9004	Schools General - Basic Need	1,674	1,674	0	1,674	1,674	0	GRANT	
9009	Schools ICT Spend	190	190	190	0	190	0	RCCO	
8788	Schools General - Universal Free School Meals	43	43	24	19	43	0	GRANT	

**CAPITAL OUTTURN REPORT PERIOD ENDING 31st MARCH 2018**

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 31/3/18 £'000	D Expenditure Rephased into 2018/19 £'000	E (C+D) 2017/18 Total Expenditure £'000	F (E-B) 2017/18 Variance from Budget £'000		
7397	Springwell Primary School - Mechanical Air Handling Units	19	19	24	0	24	5	GRANT	Scheme Complete. Overspend to be taken from Unallocated.
8590	Springwell Primary School - Electrical Distribution System	32	32	43	0	43	11	GRANT	Scheme Complete. Overspend to be taken from Unallocated.
7419	Springwell Primary School - Conservatory Conversion	36	36	6	0	6	(30)	RCCO	Scheme Complete. Underspend to be returned to unallocated.
7399	Springwell Primary School - Schools Led Premises Work	118	118	118	0	118	0	RCCO	
7399	Springwell Primary School - Vehicle	34	34	34	0	34	0	RCCO	
7422	St Cuthbert's Primary School - Mobile Unit Toilet Extension	79	79	1	0	1	(78)	RCCO	Scheme didn't go ahead. Returned to Unallocated.
7392	St Helen's Primary School - Toilet Refurbishment (KS2)	55	55	44	0	44	(11)	GRANT	Scheme Complete. Underspend to be returned to unallocated.
8947	St Helen's Primary School - Heating Distribution	3	3	3	0	3	0	GRANT	Scheme Complete.
8945	St Helen's Primary School - Roofing	1	1	1	0	1	0	GRANT	
8979	St Helen's Primary School - Language Lab	35	35	16	19	35	0	RCCO	
7423	Sacred Heart Primary School - Car Parking Extension	12	12	0	12	12	0	RCCO	
7420	Stranton Primary School - Access Road and Pathways	0	0	0	0	0	0	RCCO	
7423	Stranton Primary School - Car Parking Extension	115	115	121	0	121	6	RCCO	Scheme Complete. Overspend to be taken from Unallocated.
8907	Throston Primary School - Roofing (Phase 1 of 2)	75	75	57	0	57	(18)	GRANT	Scheme Complete. Underspend to be returned to unallocated.
8971	Throston Primary School - Convector Fan Renewal	10	10	10	0	10	0	GRANT	
8395	Throston Primary School - Water Heater	8	8	8	0	8	0	GRANT	
7521	Two year old Free Nursery Entitlement Capacity Building	23	23	0	23	23	0	GRANT	
7385	Ward Jackson Primary School - Disabled Access to Classroom	3	3	3	0	3	0	RCCO	Scheme Complete.
8950	West Park Primary School - Rectify Sound Issues to Extension	6	6	0	0	0	(6)	RCCO	Scheme Complete.
7386	West Park - Early Years Extension	187	187	100	87	187	0	GRANT	
8653	West View Primary School - Early Years Foundation Stage Improvements	148	148	138	10	148	0	RCCO	
NEW	Brierton Campus Windows	67	67	0	67	67	0	RCCO	
<b>Children's Committee Sub Total</b>		<b>7,446</b>	<b>7,446</b>	<b>2,948</b>	<b>4,498</b>	<b>7,446</b>	<b>0</b>		
<b>Child &amp; Adult Services Total</b>		<b>7,956</b>	<b>7,956</b>	<b>2,971</b>	<b>4,985</b>	<b>7,956</b>	<b>0</b>		

**Key**

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

GRANT  
CAP REC  
UDPB  
SPB

Grant Funded  
Capital Receipt  
Unsupported Departmental Prudential Borrowing  
Supported Prudential Borrowing

**CAPITAL OUTTURN REPORT PERIOD ENDING 31st MARCH 2018**

Project Code	A	BUDGET							2017/18 COMMENTS
	Scheme Title	A	B	C	D	E	F	G	
		2017/18 and Future Years Budget £'000	2017/18 Budget £'000	2017/18 Actual as at 31/3/18 £'000	Expenditure Rephased into 2018/19 £'000	C+D 2017/18 Total Expenditure £'000	E-B 2017/18 Variance from budget £'000	Type of financing	
Finance & Policy Committee									
8710	Drug & Alcohol Recovery Centre	30	30	12	18	30	0	GRANT	Renovation work is continuing
8946	Stepping Stones Grant	142	142	52	90	142	0	GRANT	Renovation work is continuing
8088	Community Hub - South	119	119	58	61	119	0	RCCO	Scheme is not complete. Work is continuing.
8088	Community Hub - Central	68	68	61	7	68	0	RCCO	Scheme is complete and the final accounts has still to be agreed.
8098	Community Hub - North	80	80	69	0	69	(11)	RCCO	Scheme has been completed with an underspend due to a saving on materials costs. It is proposed that the underspend is returned to the CCF unallocated budget..
	Finance & Policy Committee Sub Total	439	439	252	176	428	(11)		
Regeneration Committee									
8103	Swimming Scheme	35	0	0	0	0	0	RCCO	Amounts set aside for equipment purchase.
8172	Brierton Dance Studio Equipment	7	7	3	4	7	0	RCCO	Scheme is continuing with remaining dance studio equipment to be delivered and installed early 2018-19.
7992	Junior Football Pitches	26	0	0	0	0	0	RCCO	Earmarked to be used as match funding on a Sports England scheme if the bid is successful.
8408	Mill House - Equipment Purchase	5	5	2	3	5	0	RCCO	Used to fund Equipment replacement when required.
8689	Brierton Sports Fields	42	37	35	2	37	0	MIX	Scheme completed. The remaining Football Foundation funding is being carried forward to 2018/19.
8016	Summerhill Multi User Route	2	2	0	2	2	0	GRANT	Section 106 Funding remaining to be used in future years in accordance with Agreement.
8409	Sport & Youth Improvements	12	12	0	12	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	0	0	0	0	0	GRANT	Section 106 Funding remaining to be used in future years in accordance with Agreement.
8896	Brierton Tennis Courts	30	0	0	0	0	0	CAP REC	Awaiting finalisation of the Sports facilities strategy for Brierton.
	Regeneration Committee Sub Total	160	63	40	23	63	0		
	Public Health Services Total	599	502	292	199	491	(11)		

**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**
**4.1 APPENDIX I**
**CAPITAL OUTTURN REPORT PERIOD ENDING 31st MARCH 2018**

Project Code	Scheme Title	BUDGET		EXPENDITURE IN CURRENT YEAR				Type of Financing	2017/18 COMMENTS
		A	B	C	D	E	F		
		2017/18 and Future Years Budget £'000	2017/18 Budget £'000	2017/18 Actual as at 31/3/18 £'000	Expenditure Rephased into 2018/19 £'000	(C+D) 2017/18 Total Expenditure £'000	(E-B) 2017/18 Variance from Budget £'000		
Finance & Policy Committee									
8306	School Catering Equipment	509	256	12	244	256	0	RCCO	Includes an amount set aside from revenue budget of £0.156k to fund future equipment replacement.
8793	Brierton Site Development	17	17	17	0	17	0	CAP REC	Completed
	Finance & Policy Committee Sub Total	526	273	29	244	273	0		
Regeneration Committee									
7218	Housing - Disabled Facility Grants	1,351	1,101	1,035	66	1,101	0	MIX	Rephased amount relates to timing of expenditure and will be fully spent in the current year.
7220	Housing - Private Sector Grants	89	89	40	49	89	0	GRANT	The remaining balance has been used for 'home plus' grants for essential repairs/works to enable vulnerable owner occupiers to remain in their homes. Additional refunds received in year have increased the available budget resulting in rephased funding to be used next year.
7217	Housing - Raby Road CPO	5	0	0	0	0	0	GRANT	Contribution from Thirteen Group to meet Compulsory Purchase Order costs legal costs.
8799	Housing - Major Repairs	38	38	38	0	38	0	RCCO	Cost of void repairs funded from HRA Major Repairs Reserve
8106	Housing - Former RTBs	403	0	0	0	0	0	GRANT	Budget to fund additional houses in future years.
8155	Housing - Preventing Repossession	12	12	12	0	12	0	GRANT	The grant funding is now fully spent.
8795	Housing - Empty Home Phase 2	2,291	1,396	1,159	237	1,396	0	MIX	Rephased budget relates mainly to rephasing of new build houses which the vendor made available in June. The budget includes £0.229m of former RTB receipts set aside for future house purchases as part of the HRA Business Plan.
8605	Housing - North Central Hartlepool Housing Regeneration	559	559	1	558	559	0	CAP REC	Payments to Place First are now being made in 2018/19 following completion of works.
7530	Developers Contributions (Section 106)	1,194	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 L.
8956	ISQ - Church Square	1,056	863	35	828	863	0	MIX	Works ongoing with expected completion in November.
8901	ISQ - Workspace	3,098	1,902	697	1,205	1,902	0	MIX	Works ongoing, expected completion in December. Includes £349k of corporate reserves allocated to Major Regeneration projects as part of the 2017/18 MTFS.Additional funding is being sought from the TVCA.
7043	ISQ Church Street Public Realm	2,351	2,052	1,093	959	2,052	0	MIX	Scheme progressing, expected to be completed by end of August. Includes corporate reserves of £0.543m allocated to Major Regeneration projects as part of the 2017/18 MTFS approved by Council on 23.2.17. Also includes £0.227m from Street Lighting and Cleansing revenue budgets for Street Lighting/columns and Belly Bins.
7048	ISQ Stockton Street Connectivity	1,705	1,406	35	1,371	1,406	0	MIX	Scheme planned for 2018/19. Includes £0.725m funding from corporate reserves allocated to Major Regeneration projects as part of the 2017/18 MTFS approved by Council on 23.2.17 and £60k from the Street Lighting budget for new columns.
new	ISQ - Broadband	30	0	0	0	0	0	GRANT	Scheme planned for 2018/19
new	ISQ - Church Street Building Grants (HLF)	653	0	0	0	0	0	GRANT	Scheme planned for 2018/19 - part of the £1.136m HLF scheme
7504	Seaton - Coastal Communities Fund Scheme	1,311	1,311	925	386	1,311	0	MIX	Works ongoing with expected completion by October.
8889	Seaton Masterplan Longscarr CPO	9	9	9	0	9	0	RCCO	Residual costs which have been funded by a transfer from the Regeneration Projects revenue budget.
7238	Museums Exhibition Equipment	18	18	18	0	18	0	GRANT	Scheme completed at a cost of £4.6k above the original budget met from a contribution from the service revenue budget.
7232	World War 1 Medals - Jones Brothers	9	9	9	0	9	0	RCCO	Funded by a contribution from the service revenue budget.
8000	Manor House	137	137	137	0	137	0	CAP REC	Approved by Decision Record using delegated powers on 13th February 2018.
8429	Adult Education - Replace IT	6	6	0	6	6	0	GRANT	Remaining budget to be used as a contribution towards a new MIS system compatible with SFA-Skills Funding Agency, to be purchased in 2018/19.
	Regeneration Committee Sub Total	16,325	10,907	5,243	5,664	10,907	0		
7272	Wheelie Bin Purchases	90	90	74	16	90	0	RCCO	The requirement for new bins was less than the annual allocation for replacements.
7239	Belly Bins	90	90	90	0	90	0	RCCO	Costs met from the Street Cleansing revenue budget.
7466	DSO Vehicle Purchases	1,652	728	65	663	728	0	UDPB	Replacement of vehicles has been kept to the minimum possible while services are reviewed.
7878	Community Safety CCTV Upgrade/Relocation	416	416	362	54	416	0	MIX	Scheme to be completed in 2018/19.

**REGENERATION & NEIGHBOURHOOD SERVICES**
**4.1 APPENDIX I**
**CAPITAL OUTTURN REPORT PERIOD ENDING 31st MARCH 2018**

Project Code	Scheme Title	BUDGET		EXPENDITURE IN CURRENT YEAR				Type of Financing	2017/18 COMMENTS
		A	B	C	D	E	F		
		2017/18 and Future Years Budget £'000	2017/18 Budget £'000	2017/18 Actual as at 31/3/18 £'000	Expenditure Rephased into 2018/19 £'000	(C+D) 2017/18 Total Expenditure £'000	(E-B) 2017/18 Variance from Budget £'000		
CR	Crematorium Chapel refurbishment	420	33	17	16	33	0	RCCO	Programme of works to be reviewed and now not expected to commence until end 2018/19 or beginning of 2019/20 to avoid peak service times. Includes a transfer from the service revenue budget of £0.1m to meet the expected costs of the essential major works required.
Allot	Allotments Improvements	216	2	0	2	2	0	UDPB	A new programme of works for 2018/19 was approved by the Neighbourhoods Committee in June 2018.
LTP	Local Transport Plan (LTP) Schemes	2,887	2,887	1,995	892	2,887	0	GRANT	Consists of various Highways & Traffic schemes. The rephased amount relates to the timing of expenditure which will now occur in the current year. Reasons include unforeseen delays/design /consultation and weather conditions.
PLAY	Parks & Playgrounds	108	64	16	48	64	0	GRANT	Major works to ensure the safety of parks and playgrounds.
8897	Burn Road Recycling Centre Improvements	342	342	342	0	342	0	MIX	Scheme completed.
7179	Marina Way Land Adoption	8	8	8	0	8	0	RCCO	Land purchased
7243	Seaton Carew Car Parking Pay & Display	96	96	96	0	96	0	UDPB	Scheme completed.
7900	EA - Hartlepool Marina - North Pier Study	30	30	0	30	30	0	GRANT	Ongoing Study can include erosion, conservation & deterioration
7902	EA - Hartlepool Drainage Schemes	65	65	65	0	65	0	GRANT	Scheme completed.
8954	Local Growth Fund - A689 Cycleway Phase 1	104	104	104	0	104	0	GRANT	Grant funded by TVCA/LTP
8955	Local Growth Fund - Access to Oaksway	101	101	101	0	101	0	GRANT	Grant funded by TVCA/LTP, in progress
8957	Stranton Allotment Relocation	36	36	36	0	36	0	UDPB	Works now complete.
8958	Elwick By-Pass Growing Places	597	597	208	389	597	0	UDPB	The rephased budget relates to the timing of land purchase to be completed in 2018/19.
8965	TVCA Brenda Road Cycleways TV4	441	441	236	205	441	0	GRANT	Scheme ongoing. Grant funded by Tees Valley Combined Authority.
8591	Coast Protection - Headland Town & Block Sands	2,545	1,663	1,663	0	1,663	0	MIX	Ongoing 5 year scheme to upgrade key coastal structures on the Headland Walls and Block Sands as per Council report 21st July 2014. At this stage the scheme is anticipated to be complete in 2019/20 and on budget. Includes the use of £100k from the coast protection revenue budget to reduce the amount of borrowing required.
8444	Coast Protection - Town Wall Strengthening	46	46	0	46	46	0	GRANT	Scheme completed under budget. A request has been made to the Environment Agency to transfer the remaining grant to the Headland scheme to reduce the HBC borrowing requirement. There is also an impending Court Case where the Judge has requested an Independent Report following a residential complaint.
8578	Coast Protection - South Management Unit Study	29	29	1	28	29	0	GRANT	Study covering North Gare breakwater rephased to 2018/19.
8977	King Oswy Shops (Neighbourhood Invest Fund)	290	1	1	0	1	0	UDPB	Scheme planned for 2018/19
7222	Seaton Park (Neighbourhood Invest Fund)	70	2	2	0	2	0	UDPB	Scheme planned for 2018/19
NEW	Neighbourhood Investment Fund - To be allocated	1,140	0	0	0	0	0	UDPB	To be allocated to approved schemes in 2018/19.
<b>Neighbourhoods Committee Sub Total</b>		<b>11,819</b>	<b>7,871</b>	<b>5,482</b>	<b>2,389</b>	<b>7,871</b>	<b>0</b>		
<b>Regeneration &amp; Neighbourhoods Total</b>		<b>28,670</b>	<b>19,051</b>	<b>10,754</b>	<b>8,297</b>	<b>19,051</b>	<b>0</b>		

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

## CAPITAL OUTTURN REPORT PERIOD ENDING 31st MARCH 2018

Project Code	Scheme Title	BUDGET		EXPENDITURE IN CURRENT YEAR				Type of Financing	2017/18 COMMENTS
		A	B	C	D	E	F		
		2017/18 and Future Years Budget £'000	2017/18 Budget £'000	2017/18 Actual as at 31/3/18 £'000	Expenditure Rephased into 2018/19 £'000	(C+D) 2017/18 Total Expenditure £'000	(E-B) 2017/18 Variance from Budget £'000		
Finance & Policy Committee									
7260	City Challenge Clawback	9	9	0	9	9	0	RCCO	As approved by Council 23/2/17 this will fund any potential write off on the City Challenge debts.
7623	Corporate IT Projects	12	12	0	12	12	0	MIX	
7427	Voicemail Service	12	12	12	0	12	0	MIX	
8826	Civic Centre Remodel Reception Area	11	11	11	0	11	0	MIX	
8972	Print Room High Volume Colour Printer	37	37	37	0	37	0	UCPB	
	Point to Point Encryption	20	20	0	20	20	0	MIX	
	Corporate Projects	89	89	0	89	89	0	MIX	
Chief Executives Total		190	190	60	130	190	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



## CAPITAL OUTTURN REPORT PERIOD ENDING 31st MARCH 2018

Project Code	Scheme Title	BUDGET		EXPENDITURE IN CURRENT YEAR				Type of Financing	2017/18 COMMENTS
		A	B	C	D	E	F		
		2017/18 and Future Years Budget £'000	2017/18 Budget £'000	2017/18 Actual as at 31/3/18 £'000	Expenditure Rephased into 2018/19 £'000	(C+D) 2017/18 Total Expenditure £'000	(E-B) 2017/18 Variance from Budget £'000		
Finance & Policy Committee									
7029	Borough Hall - Major Refurb Scheme	738	0	0	0	0	0	CORP	Scheme approved by F & P 30.10.17. Scheme ongoing.
7033	Borough Hall - External Masonary/Window Mullions	62	0	0	0	0	0	CORP	Scheme approved by F & P 30.10.17. Scheme ongoing.
7036	Unallocated Council Capital Fund (CCF)	3	0	0	28	28	28	UCPB	
7036	Council Priorities	0	0	0	0	0	0	UCPB	
7036	Unallocated Building Condition Fund	1	0	0	0	0	0	CORP	
7036	Corporate Risk Strategy	393	0	0	0	0	0	UCPB	Earmarked to fund capital receipt risk in relation to the Jackson Landing project.
NEW	Fire Risk Assessment	100	0	0	0	0	0		2018-2019 scheme. Approved F & P 12.02.18
NEW	Civic Centre - Replace Main Lifts	120	0	0	0	0	0		As above
NEW	Town Hall - Renew Boilers	33	0	0	0	0	0		As above
NEW	Town Hall - Fire Alarm Upgrade	38	0	0	0	0	0		As above
NEW	Town Hall - Power Cabling Upgrade	28	0	0	0	0	0		As above
NEW	Mill House - Emergency Lighting Improvements	6	0	0	0	0	0		As above
NEW	Mill House - Lighting Fittings	22	0	0	0	0	0		As above
NEW	Mill House - Dosing System and Pool Pumps	104	0	0	0	0	0		As above
NEW	Tofts Farm Depot - Lighting Upgrade to Vehicle Parking	66	0	0	0	0	0		As above
NEW	Aneurin Bevan House - Boiler Plant	77	0	0	0	0	0		2019-2020 scheme. Approved F & P 12.02.18
NEW	Aneurin Bevan House - Lighting Upgrade	22	0	0	0	0	0		As above
NEW	Owton Manor Community Centre - Flat Coverings and Insulation	214	0	0	0	0	0		As above
NEW	Mill House - Toilet Upgrade	40	0	0	0	0	0		As above
NEW	Mill House - Upgrade Handrails	13	0	0	0	0	0		As above
NEW	Mill House - Upgrade Main Access for Accessibility Compliance	39	0	0	0	0	0		As above
NEW	Exmoor Grove - Distribution Upgrade	11	0	0	0	0	0		As above
NEW	Seaton Carew Library - Fire Alarms	9	0	0	0	0	0		As above
7039	Hartlepool Art Gallery Accessibility Works	19	19	13	0	13	(6)	CORP	Scheme complete and Final Account agreed. It is proposed to return the underspend to CCF Unallocated.
7041	Corporate Planned Maintenance Unallocated	272	272	0	272	272	0	MIX	
7072	Seaton DDA Toilet	37	0	0	0	0	0	RCCO	Scheme on hold.
7087	Mill House Sports Hall Floor	13	13	5	0	5	(8)	RCCO	Scheme complete and Final Account agreed. It is proposed to return the underspend to CPM Unallocated.
7098	8/9 Church Street Emergency Exits	7	7	7	0	7	0	CAP REC	Scheme complete. Final Account agreed.
7100	Mill House Gas Pipe Renewal	1	1	1	0	1	0	CAP REC	Scheme complete. Final Account agreed.
7101	Aueurin Bevan House Accessibility Works	18	18	16	0	16	(2)	CORP	Scheme complete and Final Account agreed. It is proposed to return the underspend to CCF Unallocated.
7101	Newburn Bridge - Pitched Roof Corrosion	3	3	3	0	3	0	CAP REC	Scheme complete. Final Account agreed.
7103	Newburn Bridge - Corroded Steel Lintels	1	1	1	0	1	0	CAP REC	Scheme complete. Final Account agreed.
7178	Mill House Pool Filter	23	3	3	0	3	0	RCCO	Scheme ongoing.
7200	Civic Centre Refurbishment	79	4	4	0	4	0	MIX	Survey work complete.Progressed to design stage.
7472	Victory Square Improvements	13	1	1	0	1	0	CAP REC	Scheme ongoing.
7473	Victory Square War Memorial - Conservation Works	55	0	0	0	0	0	CORP	Scheme ongoing.
7503	CETL - Boiler Renewal	90	47	47	0	47	0	MIX	Scheme ongoing. One boiler complete, second boiler to be completed in the summer school holidays.

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 31/3/18 £'000	D Expenditure Rephased into 2018/19 £'000	E (C+D) 2017/18 Total Expenditure £'000	F (E-B) 2017/18 Variance from Budget £'000		
7503	Carnegie Building - Boiler Renewal	46	5	5	0	5	0	CORP	Scheme ongoing.
7505	Carnegie Building - Roof and Internal Works	16	1	1	0	1	0	CORP	Tenders have been received and scheme progressing.
7589	Centre for Excellence Training and Learning Replace Heating Controls	45	27	27	0	27	0	CORP	Scheme ongoing and will be carried out in conjunction with the boiler replacement programme.
7617	Borough Hall Lighting and Wiring	40	0	0	0	0	0	CORP	Scheme ongoing.
7634	Borough Hall - External Redecoration	5	5	5	0	5	0	RCCO	Scheme complete. Final Account agreed.
7889	Sir William Gray Roof Repair	30	30	26	0	26	(4)	RCCO	Scheme complete and Final Account agreed. It is proposed to return the underspend to CPM Unallocated.
7904	Sir William Gray House - Internal Refurb	22	2	2	0	2	0	CORP	Scheme ongoing.
7911	Sir William Gray CCTV	7	7	7	0	7	0	RCCO	Scheme complete. Final Account agreed.
7994	Mill House Electrical Distribution Board Replacement	25	25	24	1	25	0	CORP	
8051	Civic Centre Roof	54	54	54	0	54	0	CAP REC	Scheme complete. Final Account agreed.
8055	Hartlepool Enterprise Centre Window Replacement	68	14	14	0	14	0	CAP REC	Scheme ongoing.
8061	CETL - Replace Roof	58	0	0	0	0	0	CORP	Scheme ongoing.
8068	CETL - Fire Alarm Renewal	55	45	45	0	45	0	CORP	Scheme ongoing.
8776	Town Hall Theatre Replace Stage Lighting Controls	50	50	40	10	50	0	RCCO	Scheme complete. Final Account to be agreed.
8798	Mill House Replace Chemical Dosing System	2	2	2	0	2	0	RCCO	Scheme complete.
8866	Rossmere Youth Centre Roof Replacement	117	0	0	0	0	0	CORP	Scheme at tender stage.
8867	Borough Hall Structural Works	27	6	6	0	6	0	CORP	Scheme ongoing.
8893	Town Hall Lighting and Distribution Board Replacement	18	3	3	0	3	0	CORP	Distribution board now complete. Lighting scheduled for September.
8894	Aueurin Bevan House Roof Replacement	14	14	6	0	6	(8)	CORP	Scheme complete and Final Account agreed. It is proposed to return the underspend to CCF Unallocated.
8906	Rossmere Window Replacement	33	0	0	0	0	0	CORP	Scheme ongoing.
8959	Civic Centre - Council Chamber Refurb	12	12	0	12	12	0	CORP	Scheme ongoing.
8961	Civic Centre External Doors	2	2	2	0	2	0	CAP REC	Scheme complete. Final Account agreed.
8967	Carlton Outdoor Centre Replace Hot Water System	13	6	6	0	6	0	CORP	Scheme ongoing.
8968	Borough Hall Dance Floor	8	8	8	0	8	0	RCCO	Scheme complete. Final Account agreed.
8970	Hartlepool Historic Quay Capital Works	321	63	63	0	63	0	CAP REC	Scheme ongoing.
8973	Headland Sports Centre - Boiler Renewal	50	37	37	0	37	0	CORP	Scheme ongoing.
9007	Indoor Bowls Centre Refurbishment	190	0	0	0	0	0	RCCO	Scheme on hold.
9024	Asbestos Re-Surveys	40	6	6	0	6	0	RCCO	
NEW	Corporate Utilities Project	104	0	0	0	0	0	RCCO	
	<b>Corporate Total</b>	<b>4,242</b>	<b>813</b>	<b>490</b>	<b>323</b>	<b>813</b>	<b>0</b>		

<b>Key</b>					
RCCO	Revenue Contribution towards Capital	CAP REC	Capital Receipt	CORP	Corporate Resources
MIX	Combination of Funding Types	UCPB	Unsupported Departmental Prudential Borrowing		

**SECTION 106 DEVELOPERS CONTRIBUTIONS as at 31ST MARCH, 2018**

**4.1 Appendix L**

	Cycleway £000	Bus Stop £000	Green Infrastructure £000	Housing ** £000	Maintenance £000	Play £000	Off Site Recreational *** £000	Public Art £000	Security Monitoring £000	Sports £000	Ecological Mitigation £000	Traffic Calming £000	Education £000	Restoration - Security Bond **** £000	Total £000
<b>Balance as at 1st April, 2017</b>	<b>10.0</b>	<b>15.0</b>	<b>76.0</b>	<b>288.0</b>	<b>35.0</b>	<b>101.0</b>	<b>61.0</b>	<b>15.0</b>	<b>10.0</b>	<b>53.0</b>	<b>46.0</b>	<b>30.0</b>	<b>7.0</b>	<b>100.0</b>	<b>847.0</b>
<b><u>Amounts Received in Year 17/18 (B)</u></b>															
Meadowcroft - Summerhill			3.5			3.5				3.5					10.5
Crawford - Land of Chelford Close			1.5			1.5				1.5			11.6		16.1
			20.3	250.0						20.3	20.3		46.1		357.0
<b>Total Income</b>	<b>0.0</b>	<b>0.0</b>	<b>25.3</b>	<b>250.0</b>	<b>0.0</b>	<b>5.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>25.3</b>	<b>20.3</b>	<b>0.0</b>	<b>57.7</b>	<b>0.0</b>	<b>383.6</b>
<b><u>Budgets Allocated to Schemes in 2017/18 (C)</u></b>															
Lynfield Playground						2.5									2.5
Brougham Playground						1.2									1.2
Burbank Playground			4.0			1.7									5.7
Sovereign Park Pedestrian Crossing												15.0			15.0
Seaton - Sculptures								10.0							10.0
Grayfields Playground						1.1									1.1
Eaglesfield Playground						1.4									1.4
<b>Total Expenditure</b>	<b>0.0</b>	<b>0.0</b>	<b>4.0</b>	<b>0.0</b>	<b>0.0</b>	<b>7.9</b>	<b>0.0</b>	<b>10.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>15.0</b>	<b>0.0</b>	<b>0.0</b>	<b>36.9</b>
<b>Balance Remaining (A+B-C) 31st March 2018 *</b>	<b>10.0</b>	<b>15.0</b>	<b>97.3</b>	<b>538.0</b>	<b>35.0</b>	<b>98.1</b>	<b>61.0</b>	<b>5.0</b>	<b>10.0</b>	<b>78.3</b>	<b>66.3</b>	<b>15.0</b>	<b>64.7</b>	<b>100.0</b>	<b>1,193.7</b>

\*Balances relate to amounts received and earmarked for purposes specified in developer agreements, but not yet transferred to a budget/scheme.

\*\* The Housing balance includes £240,000 received in relation to Wynyard and £250,000 in relation to Quarry Farm which has been earmarked for future Housing development as set out in the HRA Business and Asset Management Plan reported to Finance & Policy Committee on 30th October, 2017.

\*\*\* To be used in vicinity of the Britmag site including but not limited to Central Park.

\*\*\*\* Held as security in case of any remedial action required during the operational life of the Wind Turbine.

# FINANCE AND POLICY COMMITTEE

30<sup>th</sup> July 2018



**Report of:** Director of Regeneration and Neighbourhoods

**Subject:** INTEGRATED WORKING – NEIGHBOURHOOD SAFETY GROUP UPDATE

---

## 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Non-Key Decision.

## 2. PURPOSE OF REPORT

2.1 To receive a progress update in relation to implementation of the integrated place based community safety model agreed by the Finance and Policy Committee in October 2017.

## 3. BACKGROUND

3.1 In July 2017 the Finance and Policy Committee received a report outlining how the Police and Council would be developing a 'place based integrated service delivery model' during 2017/18. The report outlined that the model would in the first instance bring together Council Community Safety and Enforcement Services with the local Neighbourhood Policing Service, and would be underpinned by a community engagement approach that would contribute to delivering the following outcomes:

- Improved safety in relation to the local environment
- Improved public confidence and cohesion

3.2 With the overall vision of building Safer, Stronger Neighbourhoods the project scope included the following three elements:

- The development of a co-located community safety team which would be fully functional during 2018
- The development of a Team Around the Individual approach for vulnerable individuals with complex needs which would be in place by November 2017

- The development of a capacity building programme linked to community hubs from February 2018

3.3 In October 2017 the Finance and Policy Committee received a further report detailing the model, staff governance structure as attached as **Appendix 3**, its core offer, and how it would work with other services in Hartlepool. In agreeing the model the Committee asked that a progress update be provided within 6 months of implementation along with the outcome of further investigations into how the model could be enhanced.

3.4 The review attached at **Appendix 2**, covers the first 3 months of operation following the official launch of the model at the Safer Hartlepool Partnership Face the Public Event on 26 February 2018.

#### 4. CONCLUSION

4.1 The review identifies that the model approved by the Finance and Policy Committee in October 2017 has largely been implemented as intended and within the anticipated timescale. It captures some early benefits whilst also identifying areas for improvement/further development.

4.2 The benefits identified include:

- Improved problem solving as a result of daily briefings along with the early identification of risk in relation to safeguarding concerns
- Identifiable efficiencies through an ability to better allocate resource to problems and avoid duplication
- Improved exchange of intelligence as a result of co-location leading to swifter more co-ordinated responses to problems and the ability to '*nip problems in the bud*'.
- The core team is benefiting from the broader knowledge and expertise from each of the organisations involved in the team and there is a culture of co-operation developing within the HCST as an understanding of respective roles increases.
- The Team Around the Individual (TATI) approach has also improved co-ordination on the ground in relation to managing individuals with complex needs and ensured that safeguarding risks around vulnerable adults are not left to one individual but are shared with the additional benefit of oversight of the working group.
- One of the keys to success of the TATI is the PC who is now dedicated to assist with managing the vulnerable adults identified through the group.

4.3 Key areas for improvement highlighted in the review include:

- Outstanding IT issues need to be resolved to enable the full benefits of co-location to be realised and consideration to be given to the Fire Service being based at Avenue Road on a full time basis.
- Corporacy in relation to the internal and external communications of

the HSCT is an area that needs to be improved to generate a sense of cohesiveness within the team and increase public confidence.

- Workforce development and training is an area for further development.
- The opportunity to maximise the ability to undertake joint operations in vulnerable localities should be taken.
- Strategic partners and commissioners of health services should consider how the multi-agency neighbourhood approach could be further developed and expanded to incorporate a greater number of individuals with complex needs given the dominance of drug and alcohol issues and links to reoffending rates.
- Increasing the presence of PCSOs based in the Early Help Locality Hubs from part time to full time to be considered and further work to improve understanding of the links and interaction between the core HCST, the Locality Hubs, and Childrens Hub
- The need to build the capacity of the Councils Community Hubs to engage with broader community and increase footfall to ensure local communities benefit from what the Hubs have to offer.
- That consideration is given to having a mental health worker based at Avenue Road as part of the core HCST as part of the forthcoming options analysis.

- 4.4 An action plan based on the recommendations contained with the report has been developed and will be overseen by the Neighbourhood Safety Group of the Safer Hartlepool Partnership. A full review in relation to the model will also be undertaken during 2019/20 and with a completion date of December 2020.

## **5. RISK IMPLICATIONS**

- 5.1 There are no risks implications associated with this report.

## **6. FINANCIAL CONSIDERATIONS**

- 6.1 There are no financial implications associated with this report.

## **7. LEGAL CONSIDERATIONS**

- 7.1 There are no legal considerations associated with this report.

## **8. CONSULTATION AND COMMUNICATION**

- 8.1 This integrated community safety model was developed following consultation with a broad range of stakeholders. Initial public consultation on the Community Safety Plan raised concerns from the local community in relation to lack of visible policing; the need for more enforcement activity, and the need to see the Police and Council working together on issues that matter to

the local community. Cleveland Police Senior Management Board; the Police and Crime Commissioner; Cleveland Fire Service and the Safer Hartlepool Partnership were all consulted and are fully supportive of the model.

- 8.2 Discussions with staff representatives from across the organisations involved assisted in shaping the integrated service delivery model and have been taken into account in the interim review. Consultation with communities will continue through daily operational activity, and on a strategic level through the Safer Hartlepool Partnership. A full review planned after 12-18 months of operation will include the views of customers.

## **9. CHILD AND FAMILY POVERTY**

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

## **10. EQUALITY AND DIVERSITY CONSIDERATIONS**

- 10.1 The integration of Council, police, and fire services will ensure that there is a joined up approach to promoting cohesion across the neighbourhoods of Hartlepool, monitoring any community tensions and preventing hate. There will be increased resilience on the front line to tackle issues and where incidents of hate do occur responses will be timely and co-ordinated with supporting services will be maximized see **Appendix 1**.

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

- 11.1 The attached review provides some reassurances that the new integrated working model is assisting the Council and partners to discharge their section 17 obligations under the Crime and Disorder Act 1998

## **12. STAFF CONSIDERATIONS**

- 12.1 There are no staff considerations associated with this report

## **13. ASSET MANAGEMENT CONSIDERATIONS**

- 13.1 There are no asset management considerations associated with this report.

## **14. RECOMMENDATIONS**

- 14.1 Members of the Finance and Policy Committee are asked to note and comment on the contents of the 'interim review' into the 'integrated place based community safety model.'

- 14.2 Members are asked to note that the Safer Hartlepool Partnership's Neighbourhood Safety Group will continue to oversee the development of the model in line with the recommendations outlined in the review.
- 14.3 That Members of the Finance and Policy Committee receive the outcome of a full review into the place based integrated community safety model to take place in 2019/20 with a completion date of December 2020.

## **15. REASONS FOR RECOMMENDATIONS**

- 15.1 In agreeing the integrated working model the Finance and Policy Committee at their meeting in October 2017 Members requested an update to be brought to the Committee outlining the progress to date and the outcome of any investigations into how the model could be enhanced.

## **16. BACKGROUND PAPERS**

- 16.1 Council Plan 2017-20
- 16.2 Finance and Policy Committee Report July 2017
- 16.3 Finance and Policy Committee Report October 2017

## **17. CONTACT OFFICER**

Denise Ogden  
Director of Regeneration and Neighbourhoods  
Civic Centre  
Victoria Road  
Hartlepool  
TS24 8AY  
Email [denise.ogden@hartlepool.gov.uk](mailto:denise.ogden@hartlepool.gov.uk)  
Tel: 01429 52330



## APPENDIX 1

## EQUALITY AND DIVERSITY IMPACT ASSESSMENT

Department	Division	Section	Owner/Officer
R&N	Neighbourhoods	Community Safety	Clare Clark
Service, policy, practice being reviewed/changed or planned	Community Safety		
Why are you making the change?	Bringing together partner resources to better coordinate responses to community safety issues focusing on prevention, early intervention, and vulnerable individuals and localities.		
How might this impact (positively/negatively) on people who share protected characteristics?			
		Please tick	
		POSITIVELY	NEGATIVELY
Age	Yes		
The risk based approach adopted by the new model of delivery aims to ensure that vulnerable young people and the elderly are safeguarded from harm and exploitation through improved community intelligence flow and a specialist team of officers who will provide a multi-agency case management function. This team will co-ordinate interventions to ensure need is effectively addressed.			
Disability	Yes		
The integration of council, police, and fire services will ensure that there is a joined up approach to promoting cohesion across the neighbourhoods of Hartlepool, monitoring any community tensions and preventing hate. There will be increased resilience on the front line to tackle issues and where incidents of hate do occur responses will be timely and co-ordinated with supporting services will be maximised.			
Gender Re-assignment	Yes		
The integration of council, police, and fire services will ensure that there is a joined up approach to promoting cohesion across the neighbourhoods of Hartlepool, monitoring any community tensions and preventing hate. There will be increased resilience on the front line to tackle issues and where incidents of hate do occur responses will be timely and co-ordinated with supporting services being maximised.			
Race	Yes		
The integration of council, police, and fire services will ensure that there is a joined up approach to promoting cohesion across the neighbourhoods of Hartlepool, monitoring any community tensions and preventing hate. There will be increased resilience on the front line to tackle issues and where incidents of hate do occur responses will be timely and co-ordinated with supporting services being maximised.			
Religion	Yes		
The integration of council, police, and fire services will ensure that there is a joined up approach to promoting cohesion across the neighbourhoods of Hartlepool, monitoring any community tensions and preventing hate. There will be increased resilience on the front line to tackle issues and where incidents of hate do occur responses will be timely and co-ordinated with supporting services being maximised.			
Gender	Yes		
The integration of council, police, and fire services will ensure that there is a joined up approach to promoting cohesion across the neighbourhoods of Hartlepool, monitoring any community tensions and preventing hate. There will be increased resilience on the front line to tackle issues and where incidents of hate do occur responses will be timely and co-ordinated with supporting services being maximised.			

**EQUALITY AND DIVERSITY IMPACT ASSESSMENT**

Sexual Orientation	Yes	
<i>The integration of council, police, and fire services will ensure that there is a joined up approach to promoting cohesion across the neighbourhoods of Hartlepool, monitoring any community tensions and preventing hate. There will be increased resilience on the front line to tackle issues and where incidents of hate do occur responses will be timely and co-ordinated with supporting services being maximised.</i>		



# Interim Review

## Hartlepool Integrated Community Safety Model

## 1 INTRODUCTION: INTEGRATED WORKING COMMUNITY SAFETY MODEL

1.1 In May 2017 Cleveland Police and Hartlepool Borough Council formally agreed to work together to develop a 'place based integrated service delivery model' during 2017/18. The Project Initiation Document outlined that the model would in the first instance bring together Council Community Safety and Enforcement Services with the local Neighbourhood Policing Service, and would be underpinned by a community engagement approach that would contribute to delivering the following outcomes:

- Improved safety in relation to the local environment
- Improved public confidence and cohesion

1.2 With the overall vision of building Safer, Stronger Neighbourhoods the project scope included the following three elements:

- The development of a co-located community safety team which would be fully functional during 2018
- The development of a Team Around the Individual approach for vulnerable individuals with complex needs which would be in place by November 2017
- The development of a capacity building programme linked to community hubs from February 2018

1.3 Following work of over the summer months agreement was reached in relation to the operational model as outlined at **Appendix A**. Using the threat harm and risk model with a focus on vulnerable localities and individuals, the core offer of the team in addition to neighbourhood policing includes:

- Crime and anti-social behaviour prevention
- Victim Services and Crime Prevention (including personal security and targeting hardening service)
- Community Resolution and Mediation
- Car Parking Enforcement
- Environmental Crime
- Community Cohesion, Hate, and Prevent
- Community Monitoring (CCTV)
- Building Community Resilience / Volunteering Opportunities
- Fire Service Advocacy (vulnerable adults)
- Fire Service Interventions (children)
- Community Liaison (fire safety)

1.4 The Project Initiation document envisaged that the move towards a joint operational delivery model would facilitate and improve the timely exchange of information sharing and provide opportunities for joint tasking and co-ordination. It was anticipated that a joint co-located team would also create greater resilience and maximize resources enabling officers to be in the right

place at the right time, avoiding duplication of effort and building local confidence.

- 1.5 To ensure the model is being implemented as anticipated pending a comprehensive independent review of the integrated working model in 2019/20 a light touch review covering the first 3 months of operation (26 Feb – 14 May) has been undertaken. Acknowledging that 3 months is an extremely short period of time to capture any improvement in outcomes the review set out to answer the following:

- Has the service has been implemented in line with the Project Initiation Document as originally intended?
- Are there any immediate success/benefits that can be reported to the project group in relation to joint working?
- Are there any immediate areas for improvement /early learning points that need to be considered by the project group to improve daily working practices and ensure that the project delivers the outcomes as intended in the agreed model?
- Are there any further opportunities to expand or make any useful additions to the team and if so how will this be accommodated?
- How well are strategic governance arrangements working – is the Integrated Working Group fit for purpose? Does it have the right membership and what is the function of the group going forward?

- 1.7 To assist in the review process face to face discussions have taken place with managers and frontline staff involved in the new service, and members of the Integrated Working Steering Group. Observations have also taken place in relation to key meetings and available documentation (although limited due to the model still being in the embryonic stages of development) has been examined. Whilst customer perceptions are fundamental in any review of a service, due to the limited time that the service has been up and running, and the time available to undertake the review, customer perceptions have not been included in the current review, and these should form part of a full review independent review of the service in 12-18 month's time.

## 2. THE CO-LOCATED HARTLEPOOL COMMUNITY SAFETY TEAM

### *Progress/Early benefits*

- 2.1 In line with the anticipated timescale the Hartlepool Community Safety Team was officially launched at the Safer Hartlepool Partnership Face the Public event on 26 February 2018. The launch followed many months of planning in relation to ensuring the physical infrastructure was in place to support a co-located team with a view to relocating staff, developing operational practices in readiness for the move, along with workforce development, training and structural changes to teams. Whilst some IT issues are not fully resolved for some staff due to the multiple networks involved the majority of the team are now fully co-located.
- 2.2 Based at Hartlepool Police Station the Team led by Hartlepool's Neighbourhood Chief Inspector meet every morning to consider the priorities for the day based on calls received from the previous 24 hours with resources being deployed in line with the Threat Risk and Harm model to ensure the appropriate allocation of resource in relation to vulnerable localities and vulnerable individuals. Attendance at these meetings includes representatives from Neighbourhood Policing staff, Volume Crime Detectives; Integrated Offender Management Staff, the Councils Community Safety staff, HBCs Children's Services and Adult Safeguarding Staff; and the Fire Service. These meetings are supplemented by a range of other meetings that take place on a monthly or bi-monthly basis that were in existence prior to the implementation of the Integrated Working Model including: Police Tasking and Co-ordination Meetings; Sector Areas of Focus Meetings (formerly referred to as JAGs); and Vulnerable Victims Meetings.
- 2.3 Observations from morning meetings suggest that whilst these meetings initially involved very little discussion with Police reading from the morning log, that as participants become more knowledgeable and confident there are some signs that these meetings are slowly evolving into meetings where there is an emerging multi-agency approach with those in attendance feeling able to feed in relevant intelligence, raise their own issues, and challenge current approaches to problems by requesting the resource of others within the team. Examples include concerns raised by the HBC Community Safety Lead in relation to a spate of arson attacks in the town, and concerns raised by HBC Children's Services representative in relation to repeat missing from home children and fear that they were involved in drugs and being exploited.
- 2.4 Morning meetings take no longer than 30 minutes (15 to read the morning log and 15 for discussion) but where further problem solving is needed this can be escalated with a lead officer identified and a case placed on ECINs to ensure multi-agency case management is maintained throughout. The range of expertise around the table means that ideas/solutions are offered and members volunteer to take ownership of cases within their own area of expertise. There are currently 17 high priority cases and 23 medium priority

cases (0 low priority) live on ECINS for the HCST with ownership of cases largely falling to Police and HBC Community Safety Staff.

- 2.5 From a safeguarding perspective daily briefings are also providing a Forum where any safeguarding risks are identified quickly enabling those risks to be managed in a more co-ordinated way with representatives from both Children's and Adult services taking a proactive role in meetings. For example where children or young people are involved in any of the cases appearing on the morning log, the Children's Services representative will go back and check systems notifying the relevant social worker or family support worker immediately, thus enabling appropriate discussions / interventions to be put in place. Where a young person is not already open to Children's Services contact will be made with the Children's Hub where feedback suggests that this is being provided more quickly than through traditional channels.
- 2.6 The Adult Services representative follows a similar process liaising with broader Adult Services teams within the Council, mental health services, and drug and alcohol services. In the majority of cases both Adults and Children's Services report that they will be already be aware of the issues raised through the morning log and reassurance is therefore provided, however where this isn't the case information is shared and interventions put in place to prevent problems from escalating.
- 2.7 For the Chief Inspector responsible for the HSCT morning meetings are already leading to identifiable efficiencies - having the right person around the table to address the problem for example means that the Police can concentrate on crime and intelligence gathering and being more proactive in obtaining warrants etc. It also means that there is more immediate feedback enabling progress on particular problems to be fed back to the Chief Inspector the same day and/or monitored through morning briefings.
- 2.8 The Chief Inspector gives an example of a call received by the Police about the potential financial exploitation of a vulnerable adult which traditionally would have been cascaded down the line from the morning meeting, from the Inspector to Sergeant and to a PC where a visit would have competed with other jobs on the queue. However in this instance because the individual was known to Adult Services the Adult Services representative was able to contact the relevant social worker who visited the vulnerable adult the same day and was able to report back that the concerns were unfounded.
- 2.8 Outside of morning meetings there is also evidence that co-location is in itself improving co-ordination and avoiding duplication leading to a more efficient and effective service. As one officer reports *'people are accessible – if someone rings with an issue it is easy to check if anyone is dealing with it'*. The fact that officers are in the same room also means that they are hearing about issues they wouldn't necessarily know about. There being clear evidence of a greater exchange of intelligence between teams, and a swifter more effective co-ordinated response to issues that come into the

team.

- 2.9 This is particularly evident in relation to the specialist team of ASB officers, Victim Services Officer, the dedicated Police Officers for Troubled Families and Adults with complex needs, and the Early Intervention Co-ordinator. One ASB officer informed during interview *'I was on the telephone taking a call from a vulnerable resident who was having problems with noise and threatening behaviour from their neighbours - at the same time the PC overheard the conversation and by the time I had come off the telephone the PC had checked systems, and identified that the Police also had issues with the individual being complained about. We went out and did a joint visit the same day and put a number of interventions in place to protect the victim and address the behaviour of the perpetrator.'*
- 2.10 During discussions with front line staff all agencies involved in the HCST were able to offer examples of real life issues that they had dealt with where co-location had made it much easier to respond. Indeed many indicated that they were able to provide a complete response within the hour which wouldn't have been possible previously due to the need to make numerous telephone calls, send emails and wait for people to respond. Not only was this saving on officer time it was also *'nipping problems in the bud preventing them from escalating.'*
- 2.11 For the team's Police Sergeants improved communication, information sharing, and the broader knowledge of local authority services now available within the HCST is leading to better quality problem solving. One Sergeant also identified efficiencies due to fewer requests for assistance being received via the Neighbourhood Police Team mailbox from the Councils Community Safety Staff which previously would have involved a request for additional Police patrols/visits in areas where residents had contacted the Councils team about crime and disorder issues. However because everybody is now in the same place the ability to have a discussion there and then is said to be resulting in a better allocation of resource. Similarly Senior Managers from HBC report the benefits of having a direct link into the team and the ability to draw on the knowledge, resources, and expertise within the broader team to get issues resolved quickly.
- 2.13 As staff begin to develop an understanding of each other's roles and what they can offer a culture of co-operation between teams is also developing. There was evidence of the Neighbourhood Safety Co-ordinator pulling together the legal documentation for a Criminal Behaviour Order at the request of the Police Inspector whilst PCs began to pull together statements that would be required to support the case. There was also evidence of Local Authority Lead Officer Chairing morning briefings where the Chief Inspector and Inspector couldn't attend.
- 2.14 This ability to draw upon the strengths of each service, and the relationships that a particular service has with the broader community is also apparent it being recognised for example that the Fire Service is a trusted service that *'can get into homes where others wouldn't'* to address concerns around



vulnerability. It is also recognised that the Councils Community Cohesion Officers have strong relationships with the local community and as a trusted service will often be the first point of contact where there are concerns for safety and a fear of going through formal Police channels. For these officers being based with the Community Safety Team and having direct access to Victim Services, Police, and ASB Officers is ensuring that issues around vulnerable victims, particularly those involving hate, are being brought to light and dealt with quickly.

- 2.13 At street level Civil Enforcement Officers are developing their role as 'the eyes and ears of the community'. There were many examples of intelligence being fed into the Police when out on patrol, and evidence of joint working in relation to disrupting the activity of organised crime groups, such as removing untaxed vehicles known to be used as pool cars for drug dealers. As anticipated the recruitment of 2 additional Civil Enforcement Officers is now complete and the implementation of a 7 day shift pattern for these officers will be in place over the next 2 months. To enhance enforcement capabilities a joint framework for the issuing of Community protection Warnings and Community Protection Notices under the Anti-Social Behaviour and Policing Act 2014 has been developed with the HCST issuing their first Community Protection Warning and Notice in May 2018. A formal request for the Councils Enforcement Staff and PCSOs to be accredited with additional powers has also been made to the Chief Constable of Cleveland Police.
- 2.14 **Attached at Appendix B (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 1) information relating to an individual) are a selection of case studies that highlight some of the joint work of the HCST to date.**

### ***Early Learning/Areas for Improvement***

- 2.14 Discussions held with staff during the review asked two basic questions the first being '*what difference if any has the new way of working made to you on a day to day basis*, and secondly '*are there any teething problems /areas for improvement.*' In addition to the benefits outlined above the following broad areas were identified where there was some room improvement:
- 2.15 Accommodation / IT Infrastructure

As previously indicated problems associated with IT are a current barrier to the HCST being fully co-located with issues being experienced by both Fire Service staff and the Councils Civil Enforcement Officers. The relative absence of these staff at Avenue Road was commented upon by both those that had been relocated fully to Avenue Road and those that had not it being fair to say that relationships between these teams and the rest of the HCST are not as well established as those that have developed with staff who are permanently based at Avenue Road.

From a practical point of view for some Fire Service staff the existing arrangement of working from the Police Station part time is also problematic. This arrangement sees Fire Service staff being present most mornings at Avenue Road Police Station for a brief period before going out on morning visits, then returning to Stranton Fire Station for lunch before undertaking their remaining visits on the afternoon, and finally returning to Stranton Fire Station again at the end of the day. Staff do report benefiting from morning meetings but the lack of a fixed base and computer terminal at the Police station is perceived as problematic.

Discussions with staff also suggest that further consideration could be given to where staff are currently located within the space allocated to the HCST at Avenue Road. For practical reasons desks for Civil Enforcement Officers were originally located next to the Councils Community Safety staff to link into existing IT links to the Councils network. However due to the number of Civil Enforcement Officers and the equipment used by these officers eg radios etc it has been identified that these officers would be best located next to PCs and PCSOs. Not only would this ensure they had the space needed. It would also help to develop relationships between all patrolling officers within the HCST who have similar functions in relation to gathering community intelligence and enforcement.

This would result in Fire Service Officers relocating desks into the area occupied by the ASB and Victims Services officers, the TF and TATI PCs, and the Early Intervention Officer which would provide a better fit with their specialist functions linked to prevention, early intervention, vulnerability and risk.

One other practical issue associated with accommodation that was raised through the review is difficulties with communications between the HCST Technical Support Team and Police Staff on the front desk at Avenue Road. Two concerns were raised: the first being a failure on the part of the HCST to notify the front desk when visitors are expected in order to facilitate entry, and the second relates to complications associated with the Councils telephone system to the point that when the front desk is trying to contact the Technical Support Team upstairs they cannot get through leaving front desk staff trying to deal with a range of technical issues associated with Council Services of which they have no knowledge in situations that can often become inflamed. One suggestion to remedy this is to have a dedicated Police telephone installed on the desk space occupied by the Technical Support Team to facilitate better communication between this team and front desk staff.

## **2.16 Workforce culture and development**

Prior to the implementation of the integrated working model, during December 2017 and January 2018, briefings were given to Police staff, and meet and greet sessions were held between Police and HBC staff to ensure there was an understanding of what strategic partners were attempting to achieve, what they had agreed collectively in order to make this happen,

along with staff governance structures. This was accompanied by joint training sessions sourced by HBC and delivered by an external provider for staff in relation to enforcement powers under the Anti- Social Behaviour and Policing Act (particularly the Community Protection Notice), and Problem Solving Training. The Police also provided training for HBC staff in relation to THRIVE to ensure consistency in responding to issues coming into the team.

Discussions with staff as part of the review however, highlighted a lack of understanding, mainly among Police staff as to what the model was about. Some staff were concerned that they didn't know what they should be doing, and that they didn't know who was who within the team. Equally for HBC staff there was confusion over structures and the importance of the visibility of the Chief Inspector as Head of the HCST going forward being noted.

For some staff who have previously been involved in Integrated Service Delivery this is to be expected with some indicating that they wouldn't expect such a model to be embedded before at least 6 months. However there is also a recognition that the implementation of the model has been complicated from an HBC point of view when compared to other agencies involved in the joint Hartlepool Community Safety Team. This involved a complete service restructure including a shift in the management of daily business from HBC to the Police under the direction of the Chief Inspector, and changes in reporting arrangements, shift patterns and relocation of workplace, requiring formal consultations to be undertaken with all HBC staff who would be involved in the team. Delays in this process which should have been concluded in December 2017 were not finalised until the middle of March. The uncertainty created during these months together with the unavoidable absence of the Chief Inspector has meant that team cohesiveness has not been as strong as it could have been.

A lack of Corporacy in relation to both internal and external communications was also evident during the review process with communications from some Police staff to the public tending to suggest business as usual. There also doesn't appear to be a process in place for the Chief Inspector to communicate with the HCST as a whole to generate a sense amongst staff that they are part of a single HCST, and there doesn't appear to be an agreed process in place for communicating with elected members as an HCST.

Developing a processes to address these issues would go some way to building a cohesive team and generate confidence amongst elected members that the team is working together as intended. This would also avoid adverse publicity such as that which followed lack of attendance at the hubs in the early days due to uncertainty and lack of clarity in relation to what had been agreed in terms of daily operational practices despite Hub rotas being agreed with managers and circulated to all staff. Whilst it is early days, and to some extent understandable issues such as this highlight how easily public confidence in the team can be undermined.

The Chief Inspector is attuned to these concerns confirming his aspirations for the HCST to be '*outstanding*' in all areas but acknowledging his unavoidable absence during the first month of operation due to the need to undertake training on behalf of the Force was unhelpful in terms of setting the tone for the team and establishing and developing working relationships. Since then changes to the morning meetings have been made to try and ensure a greater focus on multi-agency problem solving with meetings now also benefiting from the recording of actions which are fed into the following days meeting. The Chief Inspector has also introduced a weekly meeting with the Inspector and HBC Community Safety Operations Lead to review the week's actions/problem solving activity to assist in developing the work of the team. Further problem solving training and a one hour dialogue looking at communication styles, how the team interacts /values people's strengths is also suggested.

The enormity of the task that the Chief Inspector has in bringing together a team comprised of 3 major statutory organisations with a remit around improving safety in neighbourhoods cannot be understated and is something that both Senior Managers within HBC and the Police raised during the review. It was acknowledged that Council services and political environment in particular can be complex and varied. The need to nurture and develop this role with the full support of HBC Senior Management is therefore seen as a key priority to ensure improved outcomes for the Hartlepool community as envisaged in the Project Initiation Document.

In this respect steps could be taken to ensure the relationship between the Chief Inspector and Director and Assistant Director of Regeneration and Neighbourhoods is strengthened to ensure delivery of Safer Hartlepool Partnership strategic priorities and the joining up of those priorities with safeguarding priorities. Better communication between the Directors and Chief Inspector on a day to day basis would also afford some assurance that the daily management of the team is being delivered as anticipated and to ensure joined up responses in relation to requests from elected members and dissemination of real time good news stories.

## 2.17 Joint Operations

The review found some very good early responses to tackling issues around vulnerable individuals and localities within the community. However save the odd example instigated by the Councils Lead Officer for Community Safety in relation to Enforcement Officers and PCSOs undertaking a joint leaflet drop together in an area where there had been a number of burglaries and car thefts, there was very little evidence available of any planned joint work or operations in relation to known or emerging vulnerable localities. There is evidence of joint priorities being identified in morning briefings in relation to hotspot areas and in the monthly area sector meetings which benefit from analytical documents produced by the HCST analyst, but links tend not to be made in relation to potential preventative work in localities with responses being fragmented.

Opportunities are also being missed in relation to maximising the impact of joint operations, a recent example being a local Police operation involving the targeting of cannabis farms. This operation involved a number of drug warrants being successfully executed at a number of addresses across Hartlepool. However with some additional planning, services in relation to the rest of the HCST could have been brought to bear following the operation to increase visibility, and reassure the local community that all agencies are working together to address neighbourhood issues. This could have included patrols from Civil Enforcement Officers; and ASB / Victim Services officers and the Fire Service Community Liaison Officer patrolling and door knocking /leaflet dropping the area to ensure the community were aware of how to contact the team with any concerns, or to identify the need for further support. Without revealing details, steps could have been taken to inform the rest of the team that an operation would be taking place, and communications made with the Director of Regeneration and Neighbourhoods once the operation was complete, which could have in turn resulted in a 'good news' communication to the Chair of the Safer Hartlepool Partnership.

It is understood that shift patterns may be a barrier in some instances to joint operations taking place to tackle issues in hotspot areas. Civil Enforcement Officers for example currently work 7 days a week, including bank holidays, whereas Neighbourhood Police generally don't work bank holidays. Consequently in one instance a request to the Police from the Director of Regeneration and Neighbourhoods for additional Police resources to tackle recurring issues on a bank holiday could not be serviced. Similar problems could be experienced due to the different hours of work on a daily basis in relation to Civil Enforcement Officers and Police. The majority of Council and Fire Service staff also work 9-5 and not on a weekend.

Nevertheless with some flexibility there is scope for joint operations to take place and consideration could be given to having a 'Day of Action' per month where intelligence suggests the benefit of proactive preventative area based operations to address key vulnerabilities and provide reassurance to communities.

### **3 INDIVIDUALS WITH COMPLEX NEEDS (TEAM AROUND THE INDIVIDUAL)**

#### ***Progress/Early Benefits***

- 3.1 The Team Around the Individual was established as anticipated by November 2017 with meetings taking place on a bi-monthly basis chaired by the Assistant Director of Adult Services. The Team Around the Individual approach is designed to improve communication and co-ordination between Partners and professionals to support identified individuals across Hartlepool living with multiple complex issues and who have needs and /or behaviours that challenge and are a risk to themselves and others.

3.2 As such partners agree to collaborate in order to maximise the use of resources, improve the persons quality of life, promote their personal safety, mitigate risks and minimise any negative impact on the Hartlepool community. The focus of the team around approach is on individuals who are:

- A Repeat victim of crime or anti-social behaviour OR
- A Repeat perpetrator of crime or anti-social behaviour OR
- Considered Vulnerable to exploitation by others

and/or experience a combination of at least three of the following issues:

- Mental ill health
- Housing issues
- Problematic substance misuse
- Frequent attendee to A&E (subject to the availability of data)

3.3 Individuals are identified via the above criteria from any agency who nominate an individual who they believe may benefit from the approach. A referral form must be completed which is considered by the working group who will determine if the criteria is met and in doing so determine if the approach is likely to be beneficial and what can be added. Following the meeting the Lead Practitioner will pull together a team around the individual meeting to ensure actions are progressed. Core members of the team include HBC Adult Services; Drug and Alcohol Services; Hartlepool Community Safety Team; HBC Housing; and NHS Safeguarding Staff. To assist in the day to management of the individuals identified via TATI Cleveland Police have also appointed a dedicated PC.

3.4 During its period of operation attendance at TATI meetings has grown with 15 organisations being in attendance at the most recent TATI meeting. Observations of meetings are that they are generally positive and benefit from a Chair who has the right knowledge and expertise to be able to mobilise resources from both within and external to their own organisation, with representation from core agencies also being at the right level operationally in order to make things happen on the ground. Where it is considered appropriate, additional members can be brought into the meeting (mainly case workers) to enable a fuller discussion to take place around potential interventions.

3.5 Since inception 18 individuals have been referred to the group, with 7 individuals receiving an intervention and interacting positively with agencies to a point where they no longer requiring support. However there is a general acceptance that for some individuals whose issues are so complex that there will continue to be a need for additional ongoing support, there being 5 such individuals who have been with TATI since inception and continue to receive support from the group. **Attached at Appendix C (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 1) information relating to an individual)** are examples of cases dealt with by the TATI Working Group since its inception with vulnerable individuals continuing to need support. In addition to criminal justice issues, general themes evident in relation to those that have been referred to the group include problematic substance misuse leading to exploitation/vulnerability. Of note all of those identified as requiring the support of TATI are also located within vulnerable localities.

- 3.6 Although recognised that TATI are dealing with individuals with multiple issues that are complex to move on, for front-line practitioners and others involved in the TATI process it has improved co-ordination on the ground and ensured that safeguarding risks around vulnerable adults are not left to one individual but are shared with the additional benefit of oversight from the working group. For the Chair of the Group there is also a much greater understanding now between agencies of each others roles which is leading to improved relationships and less confrontation between agencies when trying to resolve issues around risk and the impact that the individual in question is having on the broader community.
- 3.7 Worthy of note it is also recognised that one of the keys to success of the TATI is the PC who is now dedicated to assist with managing the vulnerable adults identified through the group. Outside of TATI meetings the PC has developed positive working relationships with HBC Adult Services and others working with vulnerable adults in Hartlepool and is providing a contact point within the Police for those agencies enabling early concerns to be addressed. For the Chief Inspector there is also no doubt that this role is assisting to relieve pressure on the local Neighbourhood Police and reducing demand on the Force as a whole with fewer calls going through the Police control room.

### ***Early Learning/Areas for Improvement***

- 3.8 Whilst some early benefits have been captured in relation to the TATI initiative, measuring progress to demonstrate the benefits of the approach both in terms of the impact on the individual, and the impact on services in terms of quantifiable savings is difficult. A framework agreed at the beginning of the process for example has not been utilised to date due to the level of resource required in relation to systems monitoring and ensuring that practitioners use the templates provided.
- 3.9 However as already identified the real success of the initiative is that it is acting as a focal point for managing risk in relation to our most vulnerable individuals with complex needs on a neighbourhood level, and in this respect there needs to be strategic 'buy-in' to the initiative from both the Safer Hartlepool Partnership and Tees Adult Safeguarding Board. The success of the initiative also poses further questions for strategic partners and commissioners in relation to how the multi-agency neighbourhood approach could be further developed and expanded to incorporate a greater number of

individuals with complex needs.

- 3.10 A final consideration in relation to the TATI and other cases involving vulnerable adults with complex needs is the expansion of the use of ECINs to assist in managing risk associated with these individuals on a day to day basis. Whilst some staff continue to raise concerns about 'double keying' in relation to the use of ECINs there is also evidence that ECINs is being perceived as a positive case management tool for managing risk around vulnerable adults and that the number of staff from the Councils Adult Services Team using ECINs has grown.
- 3.11 One of the recommendations from a recent serious case review involving the murder of a vulnerable adult was the adoption of the use of ECINs to assist in information sharing and case managing risk. Both the Adult Safeguarding Board and the Safer Hartlepool Partnership have a role to play in ensuring this recommendation is implemented or alternatively provide some justification as to why they think this is no longer applicable.

## **4 EARLY HELP LOCALITY HUBS/COMMUNITY HUBS**

### ***Early Help Locality Hubs – early benefits***

- 4.1 Whilst the Early Help Locality Teams were developed as part of an earlier review in relation to managing current demand on Children's Services, they are perceived to be an important element of the prevention and early intervention strand of the integrated place based community safety delivery model with Children's Early Help Teams in the Locality Hubs now benefiting from a dedicated PCSO who is based within each Locality Team 2 days a week.
- 4.2 Although the role of the PCSO in the hubs is not clearly defined and is one that continues to evolve over time, Children's workers can approach PCSOs for information to enable a fuller discussion of options to take place in relation to young people where concerns have been raised, and joint visits are undertaken with Children's workers where behavioural issues relating to young people have arisen to remind young people of the consequences of their actions. Schools can also contact PCSOs if they have concerns in relation to a particular child or where there are concerns around particular issues. For example PCSOs have delivered talks at school assemblies when requested by the school. This has included increasing awareness of internet safety, bullying, and explaining the role of the PCSO to try and build positive relationships.
- 4.3 As with other aspects of the model the fact that PCSOs are based in the locality teams is said to be facilitating greater information sharing between teams – in this case between the HCST and HBC Children's workers and front line health visitors and midwives. PCSOs also report good links between Locality Teams and the Early Intervention Co-ordinator within the



HCST as a resource that can be tapped into to deliver programmes to young people where particular issues are raised such as teen to parent abuse and bullying. The Fire Service Education Officer within the HCST also works within schools providing fire safety sessions in groups or on a one to one basis in relation to young people who have been identified as known or potential fire setters.

- 4.4 Longer term planning from an early help perspective is also evident. For example in an attempt to address concerns that the SHP are not engaging with children early enough where negative behaviours are present, the Early Intervention Co-ordinator and Community Resolution Co-ordinator are working together on a programme to take into primary schools that will involve a carousel of 4 sessions being delivered over a 2 hour period in relation to fire safety; etc. This will be piloted in 2 primary schools in the new academic year where intelligence and analysis demonstrates there are more young people at risk of engaging in anti-social behaviour.

### ***Early Help Locality Hubs - Early Learning/Areas for Improvement***

- 4.5 It is evident that relationships with the Early Help Locality Teams and schools are beginning to develop, however, the 2 days per week arrangement with the Locality Teams, alongside Police shift patterns, and holiday entitlement can result in a PCSO being off the patch for prolonged periods. As such providing a timely response to issues can be difficult with the immediacy of the impact of a police intervention – something as simple as a home visit for example being lost. Another concern from PCSOs is that it is sometimes difficult to follow up issues because Children's Services don't use ECINS and access to IT systems are not yet available to PCSOs in the Early Help Locality Hubs.
- 4.6 On occasion PCSOs also experience a disconnect between the broader support on offer from the HCST, and because of the limited time spent in localities feel that there are few opportunities to proactively engage with the broader community served by the Locality Hubs, resulting in a dilution of knowledge in relation to that community which is presenting barriers and the ability to engage positively with children and young people through for example youth activities.
- 4.7 Senior Managers within HBC acknowledge the need to address ECINS and the fact that some PCSOs cannot get access to IT systems. Further work identified to be taken forward also includes: raising awareness of the HCST with schools and how to engage with the HCST and Early Help Locality Teams; improving links between Children's Early Help Locality Hubs and the Councils Community Hubs where many parents would stand to benefit from the Community Hub offer eg benefits advice; health trainer etc; and improving understanding of the links and interaction between the core HCST, the Early Help Locality Hubs and the Children's Hub.

### ***Community Hubs: Early Benefits***

- 4.8 The HCST operational model seeks to build on local community assets by taking forward a programme of activities linked to the Councils Community Hubs with the aim of fostering stronger relationships and partnerships with the local community, to enable those relationships to grow, support communities to take social action, and ensure links with a wider range of stakeholders working from the hubs.
- 4.9 A rota in relation to attendance of the HCST at Community Hubs was established by Community Cohesion Officers within the team week commencing the 7th March. The rota identified the presence of two members of the HSCT(a PCSO plus an HBC Officer) at each of the hubs one day a week between the hours of 11am- 2pm. The HCST are present at Community Hub North on a Monday; Central on a Tuesday, and South on a Friday. These days were agreed in conjunction with each of the Hubs with space being allocated within the foyer of each hub where members of the team could set up. In addition a separate confidential office has been allocated should any member of the community wish to make an appointment with a member of the team to discuss any community safety concerns.
- 4.10 The HSCTs attendance at the Hubs was accompanied by an initial round of publicity and over a 12 week period 124 contacts were made. Of these 45 residents benefited from crime prevention advice with the majority being related to personal safety, home crime prevention visits and cold calling zones, and 31 new residents were signed up to Cleveland Connect.
- 4.11 Although the number of neighbourhood issues raised at the Hubs during this period are low (7), intelligence fed into the Hubs from the local community has resulted in some quick wins including the discovery of a cannabis farm.

### ***Community Hubs - Early Learning/Areas for Improvement***

- 4.12 Given the number of hours that the HCST have spent in the Hubs there is some disappointment from the Team that the numbers of residents dropping in to see the team at each session are relatively low with as little as 2 residents attending some sessions and on other occasions no residents attending at all. This is particularly evident in the North and South Hubs where footfall is limited and a tendency for the same people to visit because of regular groups and activities that take place at the Hubs. An additional concern raised is that outside of the scheduled drop-in sessions there are no issues being reported by Hub staff into the HCST and no-one apparently dropping in to the Hubs to make appointments for members of the HCST to speak to the team in confidence at the Hubs.
- 4.13 To address low turn out posts have been scheduled on social media to remind residents about sessions and a feature will be included in the next round of Heartbeat. Some 10 second video clips with various officers speaking about the session that can be tweeted the night before are also being developed. It is also clear that there is scope to build the capacity of the Hubs themselves in engaging with the broader community, and for programmes and activities to

be developed along with other services to increase the 'hub offer' and attract further footfall with care being taken to attract vulnerable groups that are traditionally hard to reach.

## **6 ARE THERE ANY FURTHER OPPORTUNITIES TO EXPAND OR MAKE USEFUL ADDITIONS TO THE TEAM?**

- 6.1 Almost without exception there was general agreement amongst those spoken to as part of this review that it was too early to consider further additions to the current core HCST. In addition as evidenced in the review one of the benefits of bringing a core Community Safety Team together from 3 major statutory services with a remit around improving Community Safety has been the ability to then tap into the resources of their parent organisations to add value to the work of the team.
- 6.2 In this respect good links were evident between the Councils Lead Operational Officer for Community Safety and other Council Services such as Housing, Trading Standards, Planning and Estates. From a Council perspective the Assistant Director has also taken an active role in encouraging Service Leads within his Division to take advantage of the integrated team and the wider expertise available. There was also evidence of the Assistant Director of Adult Services attending morning meetings to ensure that potential interventions planned for an individual were not in conflict and complemented the work of the HCST. Beyond this links to the Early Help Locality Teams and Community Hubs although requiring further development are providing further community based links with access to the HCST available to local communities in local bases.
- 6.3 It is fair to say therefore that current arrangements although in the early stages of development are encouraging. However one notable exception that has been mentioned during the review is the need for better day to day joint working arrangements with mental health and drug and alcohol services, where although said to be improving, the resistance to share information is apparent. Whilst accommodation is limited at Avenue Road as a base for the team it has been suggested that having a mental health worker based within the team would provide a useful addition to the team who would have access to systems with the ability to pull together and triage into secondary or primary care services therefore broadening out early contact and access to a greater range of services such as GPs, Access and Crisis Teams and links to the Effective Disorder Team.
- 6.4 In relation to this suggestion the Assistant Director for Adult Services has informed of a forthcoming review that will examine options in relation to the future delivery of Council commissioned mental health services. As such the potential for a mental health worker to be based within the HCST will be included along with other options in the analysis to be undertaken. Outside of this development there is a general view that that existing arrangements should be allowed to develop and that any further potential changes should

be left to a full review to consider that will take place in 2019/20.

## **7. GOVERNANCE/STEERING GROUP ARRANGEMENTS**

- 7.1 Governance arrangements in relation to the development and implementation of the integrated community safety model were set out in the Terms of Reference of the Integrated Working Steering Group which reflected the agreement outlined in the Project Initiation Document.
- 7.2 There is general agreement that to date these arrangements have worked well in terms of developing the model, keeping track of actions, and the ability to remove barriers in relation to making progress where needed with both the Chief Superintendent and Director of Regeneration and Neighbourhoods providing strategic leadership and ensuring that the model is developed in line with priorities of their own organisations and the broader ambitions of the Safer Hartlepool Partnership. Given the importance of the model in bringing together a number of cross-cutting themes for community safety and safeguarding partners there is also general agreement that these arrangements need to continue under the strategic oversight of the Safer Hartlepool Partnership.
- 7.3 The Integrated Working Steering Group was set up by, and currently reports to the Safer Hartlepool Partnership. A forthcoming report to the Safer Hartlepool Partnership on the current Community Safety Plan suggests that this group will continue as the 'Neighbourhood Safety Sub Group' Chaired by the Director of Regeneration and Neighbourhoods. In line with the Standard Operational Protocol the Chief Inspector will undertake the Lead Officer role with responsibility for ensuring the action plan is progressed and performance updates are provided to the group. This will relieve the Chief Inspector of his current role in Chairing a separate Neighbourhood Safety Group which will no longer continue to exist.
- 7.4 In addition to the Director of Regeneration and Neighbourhoods and the Chief Superintendent, current membership of the group includes the District Manager of the Fire Service; the Councils Assistant Directors of Children's, Adults, and Neighbourhood and Environmental Services; the Chief Inspector and Inspector of the HCST and the Councils Head of Community Safety and Engagement. A performance monitoring framework in relation to the HCST has largely been agreed by the group linked to Safer Hartlepool Partnership priorities around creating safer stronger neighbourhoods, and a Benefits Realisation Plan produced in conjunction with Cleveland Police Business Transformation Unit to enable efficiencies and effectiveness of the integrated working model to be captured.
- 7.5 Now that the model is up and running the Terms of Reference of the Group will invariably need to be refreshed and amended to reflect recent Council staffing changes to include the lead Operational Manager for Community Safety and the Community Safety Team Leader responsible for performance monitoring. Consideration could also be given to expanding Membership of

the group to include partners from the National Probation Service, the CRC, and the CCG to reflect their role as responsible authorities for Community Safety. Given the link with the Community Hubs consideration could also be given to including the Councils Assistant Director of Preventions and Community Based Services.

## **8 KEY FINDINGS AND RECOMMENDATIONS**

### ***Key findings***

- 1 Re-location of members of the integrated HCST staff has progressed in line with the Project Initiation Document, but IT issues continue to present a barrier to full relocation for the Fire Service and HBC Civil Enforcement Officers.
- 2 Joint working got off to a slow start following delays in implementing HBC structures, and the unavoidable absence of the Police Chief Inspector in the first month of operation. However there are some early benefits captured that should be acknowledged and celebrated.
- 3 Morning meetings are providing a vehicle for ensuring safeguarding risks are addressed at the earliest opportunity. Multi-agency problem solving at meetings is also slowly evolving as staff become more confident.
- 4 The core team is benefiting from the broader knowledge and expertise from each of the organisations involved in the team and there is a culture of co-operation developing within the HCST as an understanding of respective roles increases
- 5 Corporacy in relation to the internal and external communications of the HSCT is an area that needs to be improved to generate a sense of cohesiveness within the team and increase public confidence.
- 6 The importance of the Chief Inspector role as Lead Officer for the HSCT is recognised by Senior Managers within HBC and the Police. The need to nurture and develop this role is as a key priority.
- 7 The team around the individual is improving co-ordination on the ground and ensuring safeguarding risks around vulnerable adults are not left to one individual but are collectively shared.
- 8 One of the keys to success of the TATI is the PC who is now dedicated to assist with managing the vulnerable adults identified through the group.
- 9 There is a general acceptance that for some individuals referred to TATI there will continue to be a need for additional support there being 5 individuals whose issues are so complex they will continue to receive support from the group.

- 10 The success of TATI poses further questions for strategic partners and commissioners in relation to how the multi-agency neighbourhood approach could be further developed and expanded to incorporate a greater number of individuals with complex needs, particularly those with drug alcohol issues and links to reoffending rates.
- 11 The use of ECINs is growing but there is further scope for development. Following a recent serious case review both the Adult Safeguarding Board and the Safer Hartlepool Partnership have a role to play in ensuring implementation.
- 12 PCSOs are establishing themselves as a useful addition to the Early Help Locality Teams providing additional liaison with schools, but the 2 days per week arrangement is problematic and consideration could be given to making this role full time.
- 13 Raising awareness of the HCST with schools and how to engage with the HCST and Early Help Locality Teams has been identified as an area for improvement
- 14 Links between Children's Early Help Locality Hubs and the Councils Community Hubs need to be strengthened and further work is required to build the capacity of the Community Hubs to engage with the broader community.
- 15 Further work could be undertaken to improving understanding of the links and interaction between the core HCST, the Early Help Locality Hubs and the Childrens Hub.
- 16 Links between the core HCST, the services in their own agencies, and the locality/community hubs with further development are providing an expanded community safety service adding value to the work of the core team. However the location of a mental health officer within the HCST has been identified as a useful addition to the team.
- 17 Current strategic governance arrangements are working well and there is an appetite to continue with these arrangements with the possibility of adding new members to the group to ensure Neighbourhood Safety is embedded.

***Recommendations***

- 1 All IT issues should be progressed with haste to enable Enforcement Staff to fully re-locate to Avenue Road and in the interim Civil Enforcement Officers to attend daily briefings with Sergeants to improve relationships and joint working

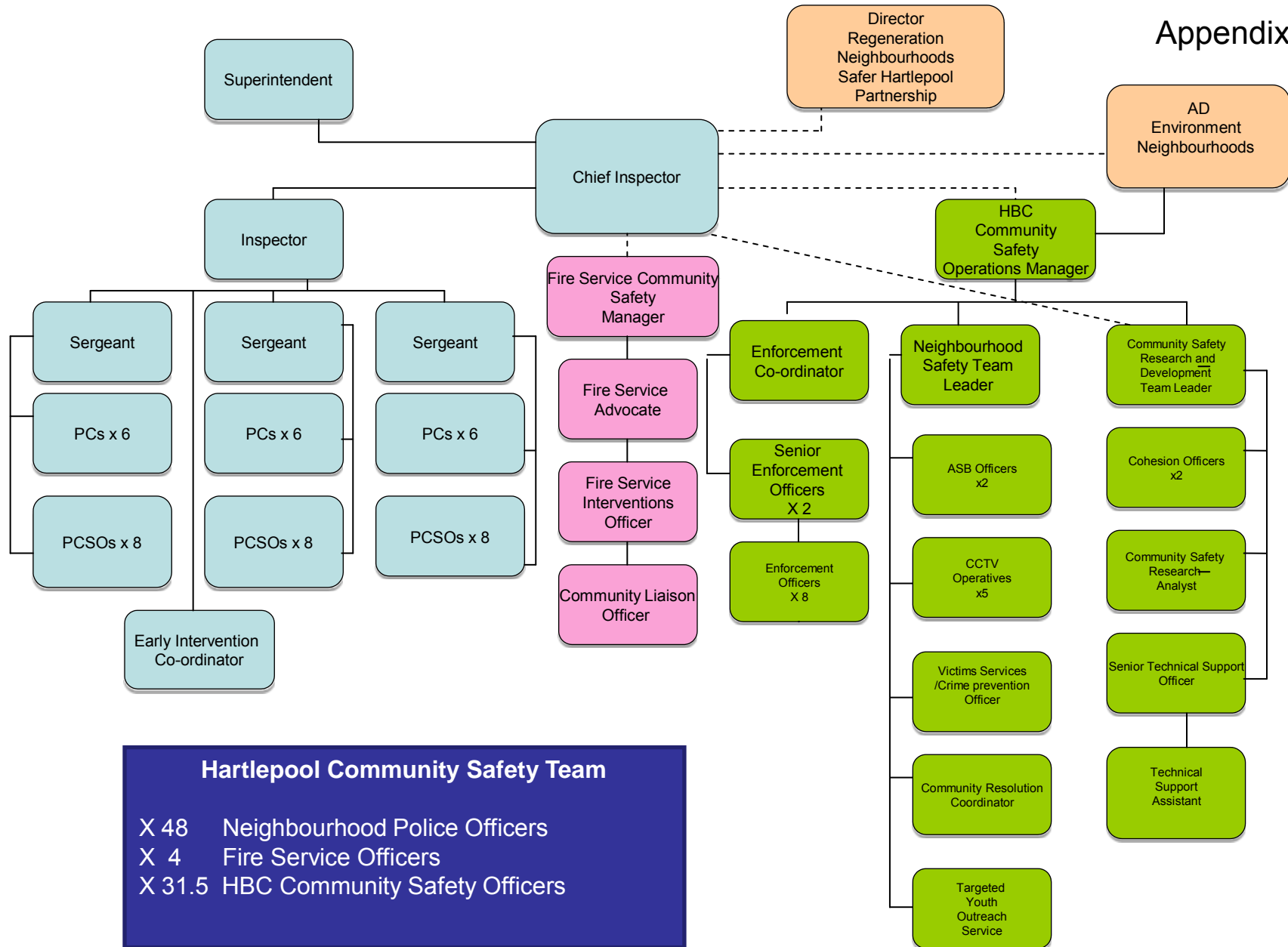
- 2 Consideration should be given to the Fire Service being based at Avenue Road on a full time basis, and the feasibility of moving HBC Civil Enforcement Officers into the space occupied by the Police, and the Fire Service into the area occupied by other case managers should be explored.
- 3 Consideration to be given to installing a dedicated police telephone at the desk space occupied by the HCST Technical Support Team.
- 4 Internal communications to be put in place from the Chief Inspector to the HCST to improve cohesiveness within the team, and regular communications to elected members from the HCST to be established.
- 5 A training programme for all HCST staff to be established to assist in workforce culture and development.
- 6 Consideration to be given to the HCST having a 'Day of Action' per month where intelligence suggests the benefit of proactive preventative area based operations to address key vulnerabilities and provide reassurance to communities.
- 7 Strategic Partners and commissioners of health services to consider how the multi-agency neighbourhood approach could be further developed and expanded to incorporate a greater number of individuals with complex needs given the dominance of drug and alcohol issues and links to reoffending rates.
- 8 All partners to ensure ECINs is progressed in their organisations, and the Safer Hartlepool Partnership and Safeguarding Boards to be proactive in holding partners to account in relation to the use of ECINs
- 9 Consideration to be given to having PCSOs based in the Early Help Locality Hubs on a full time basis.
- 10 Consideration be given to a Community Cohesion Officer from the HCST being dedicated to work with the Councils Community Hubs, to assist in developing the Hubs, links with the broader community and satellite buildings including Children's Locality Hubs.
- 11 That in light of recommendation 10 that the HCST attendance at Community Hubs is reviewed in 3 month's time and consideration given to only one rather than two members of the HCST attending the Hubs to represent the whole team.

- 12 That further work is undertaken to improve understanding of the links and interaction between the core HCST, the Locality Hubs, and Childrens Hub.
- 13 That consideration is given to having a mental health worker based at Avenue Road as part of the core HCST as part of the forthcoming options analysis.



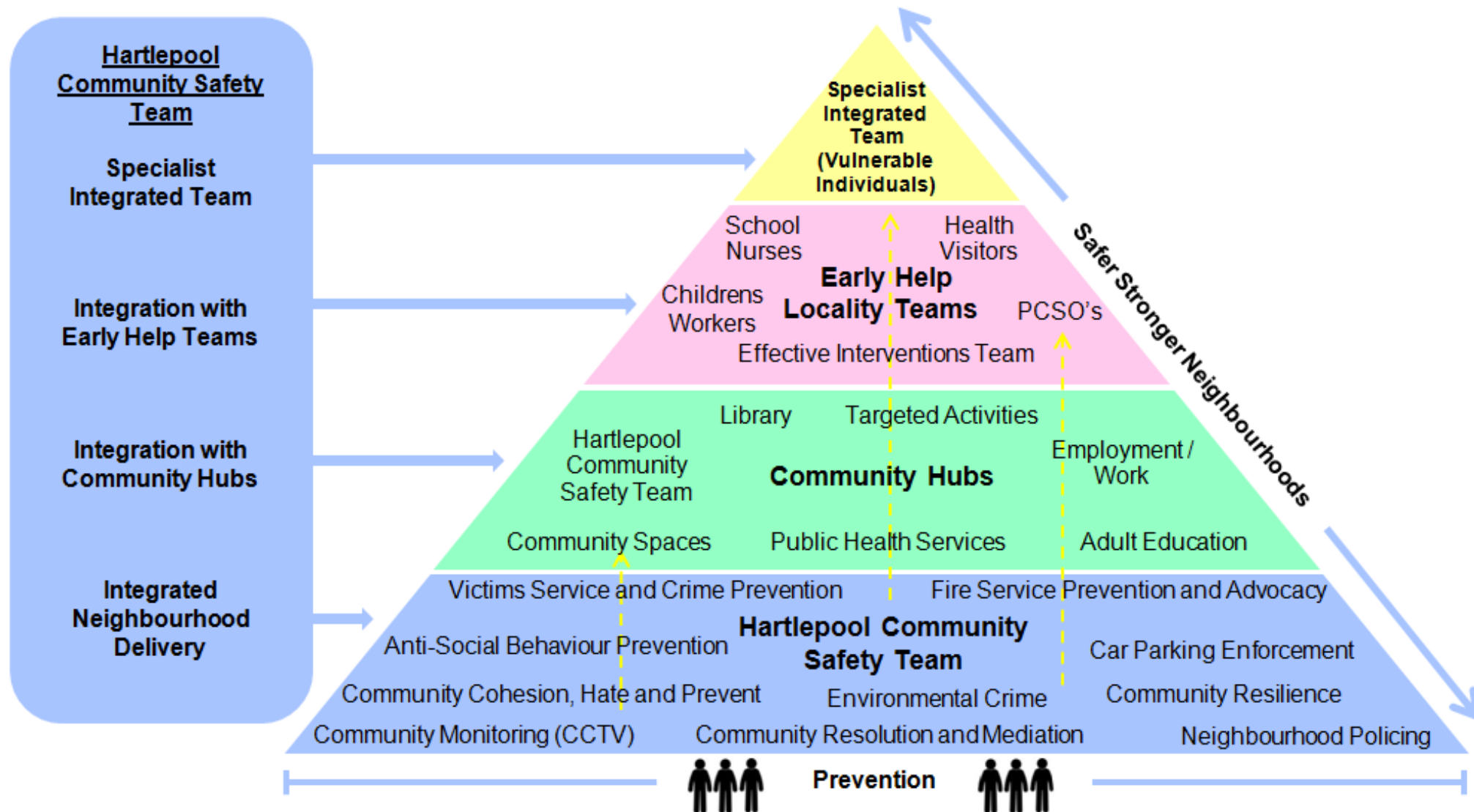
# Staff Governance Structure

## Appendix 3





## Hartlepool Community Safety Team Operational Delivery Model



# FINANCE AND POLICY COMMITTEE

30 July 2018



**Report of:** Interim Chief Solicitor

**Subject:** DATA PROTECTION – UPDATE AND POLICY

---

## 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Non-key decision.

## 2. PURPOSE OF REPORT

2.1 The purpose of this report is to:-

- (a) outline the changes that the Council has undertaken to ensure compliance with the General Data Protection Regulation (GDPR) and the Data Protection Act 2018; and
- (b) seek agreement to the Data Protection Policy (attached in Appendix 1).

## 3. BACKGROUND

3.1 GDPR is the biggest change to data protection law in over 20 years. The regulation is EU law and came into force on 25 May 2018. The UK has repealed the Data Protection 1998 and replaced it with the Data Protection Act 2018. Both pieces of legislation strengthen data rights.

3.2 The main changes that GDPR has imposed are:

- i. Increased fines - Fines for breaching GDPR (max - greater of 4% of turnover or €20M) are significant compared with those issued under the old Data Protection Act (max £500K).
- ii. Accountability and Privacy by design – The Council must be able to demonstrate compliance with GDPR and implement data protection by design to reflect processing activities and risk.
- iii. Data Protection Officer (DPO) – this is a statutory role which requires HBC to provide the necessary support and resources to enable the DPO to carry out the role.

- iv. Data Processors – data processors can be held liable for non-compliance and HBC should review situations where it acts as a data processor for a third party. GDPR also requires enhanced contractual provisions for data processors engaged by HBC, necessitating a review of current contracts to ensure they are GDPR compliant and to also future proof contracts going forward.
- v. Extra Territorial reach - GDPR's reach extends to organisations outwith the EU that process personal data of individuals in the EU. This could cover non - EU organisations which authorities use to process personal data on its behalf.
- vi. Consent as basis for processing - GDPR makes it much harder to rely on consent as a basis for processing personal data and HBC need to check whether the basis upon which consent was obtained meets GDPR requirements.
- vii. Privacy Notices - must be concise, intelligible and communicated by means likely to be noticed and read by data subjects. GDPR also requires further information to be added to privacy notices. Data Subject Rights - GDPR expands rights of data subjects to include e.g. right to be forgotten, right to portability, right to prevent customer profiling. HBC can no longer charge to deal with subject access requests. Time frame for responding has changed from 40 days to 1 month.
- viii. International transfers - basis on which local authorities can transfer personal data outwith the EEA have been restricted
- ix. Data Breaches - subject to limited exceptions, all data breaches must be notified to the Information Commissioners Office within 72 hours.

#### 4. PROPOSALS

- 4.1 The Council has and continues to implement GDPR compliant measures, and detailed below is an update on the work that has been completed and which continues to be a priority.

##### *Accountability*

- 4.2 The GDPR places great emphasis on accountability and in order to comply with the accountability principle, each Council Department have been required to examine:-
- (a) how they interact with their clients;
  - (b) the way in which they record information relating to clients;
  - (c) the way in which they communicate processing activities to clients; and
  - (d) the processing activities they carry out including contractual arrangements with external organisations, consultants etc.

*Audit*

- 4.3 An information audit has been completed and includes all the information processed and handled by each departmental service area. The purpose of the audit was to determine what information we hold, where it is held, the legal basis for holding the information, if information is shared and what we tell clients we will do with their data. The information audit will be reviewed and additional information regarding risk rating will be included.

*Privacy Notices and Stationary Forms including Consent*

- 4.4 The GDPR sets out a number of points that data subjects should be aware of when they provide their data, for example, we must tell them where it will be stored, who will have access to it, how long we will keep it. We must also tell them how they can access their data and their rights to rectify and erase the data. To do this, a corporate privacy notice has been developed and service specific privacy notices have been reviewed/developed and can be viewed on the website at [www.hartlepool.gov.uk/privacy-notices](http://www.hartlepool.gov.uk/privacy-notices).
- 4.5 All Council stationary forms, including consent forms are in the process of being reviewed and amended if not GDPR compliant. Stationary forms will continue to be developed over the coming weeks.

*Contracts, Data Sharing Agreements and Service Level Agreements*

- 4.6 Contract variations are being finalised and Service Level Agreements are being updated. Data Sharing Agreements, both internal and external have been reviewed and are currently being updated to reflect the changes.

*Training and Awareness*

- 4.7 Throughout May and the beginning of June, staff were requested to attend GDPR training, this training was mandatory. Approximately, 1100 people attended the training. Blue collar workers will receive a GDPR Briefing Sheet, which details the changes and how to keep data safe. A GDPR Members' Seminar is currently being organised and details will be circulated in due course.

*Policies*

- 4.8 The existing Information Governance Policies, as listed below, have been updated
- Information Protection Policy
  - Email Access Policy
  - Internet Acceptable Use Policy
  - IT Access Policy
  - Removable Media Policy
  - Remote Working Policy
  - Information Security Incident Management

- 4.9 In addition, to the above policies, the Data Protection Policy has been updated, and is attached for the Committee's consideration and approval. The Policy will be supplemented with guidance notes covering specific areas, for example, reporting a breach, as it is good practice to have a plan prepared in advance setting out how data breaches will be handled; this will assist in providing a fast effective response to minimise damage. Once complete, these will be distributed to staff and available on the intranet.

#### *Monitoring*

- 4.10 Compliance monitoring will be carried out on through the audit function, departmental practices/processes and the Information Governance Group.

### **5. RISK IMPLICATIONS**

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

### **6. FINANCIAL CONSIDERATIONS**

- 6.1 If a fine is imposed as a result of a breach of the legislation, a fine could be imposed and financial implications could be significant.

### **7. LEGAL CONSIDERATIONS**

- 7.1 Implementation of these changes to data protection is a statutory requirement and this report and the report presented to the Committee on 18 September 2017 provides an overview of the legal considerations.

### **8. CONSULTATION**

- 8.1 Consultation is not required at this time.

### **9. CHILD AND FAMILY POVERTY (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE.)**

- 9.1 Not applicable.

### **10. EQUALITY AND DIVERSITY CONSIDERATIONS (IMPACT ASSESSMENT FORM TO BE COMPLETED AS APPROPRIATE.)**

- 10.1 Not applicable.

## **11. STAFF CONSIDERATIONS**

- 11.1 A DPO has been appointed within existing resources.

Staff have received training regarding GDPR.

## **12. ASSET MANAGEMENT CONSIDERATIONS**

- 12.1 Not applicable

## **13. RECOMMENDATIONS**

- (i) That the contents of the report are noted and considered.
- (ii) That the contents of the Data Protection Policy are considered and approved.

## **14. REASONS FOR RECOMMENDATIONS**

- 14.1 The GDPR and the Data Protection Act 2018 has replaced the current Data Protection regime and has direct affect in all EU member states with application from the 25 May, 2018. A key feature of the GDPR is the accountability obligation on data controllers to demonstrate full compliance with this legislation. 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. The Data Protection Policy, along with the other Council policies and procedures will

## **15. BACKGROUND PAPERS**

- 15.1 Report of the Chief Solicitor entitled 'EU General Data Protection Regulation' presented to the Finance and Policy Committee on 18 September 2017.

## **16. CONTACT OFFICERS**

Hayley Martin  
Interim Chief Solicitor  
[Hayley.martin@hartlepool.gov.uk](mailto:Hayley.martin@hartlepool.gov.uk)  
01429 523002

Laura Stones  
Data Protection Officer  
[Laura.stones@hartlepool.gov.uk](mailto:Laura.stones@hartlepool.gov.uk)  
01429 523087





# Hartlepool Borough Council

## Data Protection Policy

## **1. Introduction**

- 1.1 This Data Protection Policy sets out how Hartlepool Borough Council handle the Personal Data of its customers, suppliers, employees, and other third parties, in line with the provisions set out in the General Data Protection Regulation (GDPR).
- 1.2 This Policy applies to all personal data the Council processes regardless of where the data is stored or whether it relates to past or present employees, customers, clients or supplier contacts, website users or any other data subject.
- 1.3 The Council will robustly comply with the GDPR from 25 May 2018.

## **2. Policy Aims**

- 2.1 The aims of this policy are:-
  - (a) to ensure that the Council captures, stores, processes and disposes of personal information in a lawful, ethical and responsible way
  - (b) respect the rights of individuals where personal data is processed

## **3. Scope**

- 3.1 The correct and lawful treatment of personal data will maintain confidence in the organisation. Protecting the confidentiality and integrity of personal data is a critical responsibility that the Council take seriously at all times. The Council is exposed to potential fines of up to EUR20 million (approximately £18 million) or 4% of total worldwide annual turnover, whichever is higher and depending on the breach, for failure to comply with the provisions of the GDPR.
- 3.2 Hartlepool Borough Council is responsible for:-
  - (a) The overall responsibility for the efficient administration of data protection legislation
- 3.3 The Council's Corporate Management Team is responsible for:-
  - (a) promoting and supporting arrangements to deliver effective data protection compliance
  - (b) monitoring the on-going effectiveness of the management processes

(c) ensuring there is an appointed Data Protection Officer

3.4 The Data Protection Officer is responsible for:-

(a) day to day administration and compliance with data protection legislation

(b) establishing appropriate governance structures to implement and monitor data protection arrangements across the Council

(c) ensuring that this policy is followed in a consistent manner

(d) communicating this policy to employees

3.5 All Managers are responsible for:-

(a) actively promoting the Data Protection Policy and its principles and take steps to implement improvements to work processes within their own area of functional responsibility;

(b) ensuring that staff under their direction and control are aware of the policies, procedures and guidance laid down and for checking that those staff understand and appropriately apply policies, procedures and guidance in respect of information governance in carrying out their day to day work

(c) taking steps to ensure that personal data is kept secure at all times against unauthorised or unlawful loss or disclosure and in particular will ensure that:-

- paper files and other records or documents containing personal/sensitive data are kept in a secure environment

-personal data held on ICT equipment is protected by the use of secure , which have forced changes periodically;

-individual passwords should be such that they are not easily compromised

(d) Managers are also responsible for ensuring all staff within their functional areas have had training appropriate to their roles and that this is current.

3.6 All employees are responsible for:-

(a) acquainting themselves with and abiding by the data protection principles;

(b) reading the Data Protection Policy and understanding how it impacts on their role;

- (c) Understanding how to conform to the policy in relation to the retention of personal data
- (d) understanding how to conform to the policy in relation to safeguarding data subjects' rights;
- (e) understanding what is meant by special categories of personal data and how to handle such data
- (f) contacting the Data Protection Officer if there is any doubt so as not to jeopardise individuals' rights or risk contravention of the regulations;
- (g) ensuring they have had data protection training on induction to the organisation and completed a refresher annually

3.7 All contractors, consultants, partners or agents of the Council must:-

- (a) ensure that they and all their staff who have access to personal data held or processed for or on behalf of the Council, are aware of this policy and are fully trained in and are aware of their duties and responsibilities under the Act. Any breach of any provision of the Act will be deemed as being a breach of any contract between the Council and that individual, company, partner or firm;
- (b) allow data protection audits by the Council of data held on its behalf (if requested);
- (c) Ensure all contractors who are users of personal information supplied by the Council confirm that they will abide by the requirements of the Act with regard to the information supplied by the Council.

#### **4. Data Protection Principles**

4.1 The GDPR provides conditions for the processing of any personal data. They also make a distinction between personal data and special categories of personal data.

4.2 Personal data is defined as, data relating to a living individual who can be identified from:

- (a) that data;
- (b) that data and other information which is in the possession of, or is likely to come into the possession of the data controller and includes an expression of opinion about the individual and any indication of the intentions of the Council, or any person in respect of the individual

4.3 Special categories of personal data consist of:-

- (a) Racial or ethnic origin
- (b) Political opinion
- (c) Religious or other beliefs
- (d) Trade union membership
- (e) Physical or mental health or condition
- (f) Sexual life
- (g) Genetic or biometric data
- (h) Criminal convictions and offences

4.4 In the GDPR regulations:

- (a) Data subject means an individual who is the subject of personal data
- (b) Data Controller means a person who either alone or jointly or in common with other persons determines the purpose for which and the manner in which any personal data are, or are to be processed.
- (c) Data Processor, in relation to personal data, means any person (other than an employee of the data controller) who processes the data on behalf of the Data Controller.

4.5 The Council adhere to the principles relating to processing of personal data set out in the GDPR which require personal data to be:

- (a) Processed lawfully, fairly and in a transparent manner (Lawfulness, Fairness and Transparency).
- (b) Collected only for specified, explicit and legitimate purposes (Purpose Limitation).
- (c) Adequate, relevant and limited to what is necessary in relation to the purposes for which it is Processed (Data Minimisation).
- (d) Accurate and where necessary kept up to date (Accuracy).
- (e) Not kept in a form which permits identification of Data Subjects for longer than is necessary for the purposes for which the data is Processed (Storage Limitation).
- (f) Processed in a manner that ensures its security using appropriate technical and organisational measures to protect against unauthorised or unlawful processing and against accidental loss, destruction or damage (Security, Integrity and Confidentiality).
- (g) Not transferred to another country without appropriate safeguards being in place (Transfer Limitation).

- (h) Made available to Data Subjects and Data Subjects allowed to exercise certain rights in relation to their Personal Data (Data Subject's Rights and Requests).
- 4.6 The Council are responsible for and must be able to demonstrate compliance with the data protection principles listed above (Accountability).
- 5. Lawfulness, fairness, transparency**
- 5.1 Personal data must be processed lawfully, fairly and in a transparent manner in relation to the Data Subject.
- 5.2 The Council may only collect, process and share personal data fairly and lawfully and for specified purposes. The GDPR restricts actions regarding personal data to specified lawful purposes. These restrictions are not intended to prevent processing, but ensure that we process personal data fairly and without adversely affecting the data subject.
- 5.3 The GDPR allows Processing for specific purposes, as set out below:
  - (a) the Data Subject has given his or her consent;
  - (b) the Processing is necessary for the performance of a contract with the Data Subject;
  - (c) to meet our legal obligations;
  - (d) to protect the data subject's vital interests;
  - (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;
  - (f) to pursue our legitimate interests for purposes where they are not overridden because the Processing prejudices the interests or fundamental rights and freedoms of Data Subjects. The purposes for which we process Personal Data for legitimate interests need to be set out in applicable Privacy Notices (Local Authorities cannot rely on this processing ground)
- 5.4 You must identify and document the legal ground being relied on for each processing activity.

### **Consent**

- 5.5 A data Controller must only process personal data on the basis of one or more of the lawful bases set out in the GDPR.
- 5.6 A data subject consents to processing of their personal data if they indicate agreement clearly either by a statement or positive action to the processing. Consent requires affirmative action so silence, pre-ticked boxes or inactivity

are unlikely to be sufficient. If consent is given in a document which deals with other matters, then the consent must be kept separate from those other matters.

- 5.7 Data subjects must be easily able to withdraw consent to processing at any time and withdrawal must be promptly honoured. Consent may need to be refreshed if you intend to process personal data for a different and incompatible purpose which was not disclosed when the Data Subject first consented.
- 5.8 Unless the data controller can rely on another legal basis of processing, explicit consent is usually required for processing special categories of personal data, for automated decision-making and for cross border data transfers. Usually, another legal basis can be relied upon (and not require explicit consent) to process most types of special categories of data. Where explicit consent is required, a privacy notice to the data subject to capture explicit consent must be issued.
- 5.9 All consents must be recorded so that the Council can demonstrate compliance with consent requirements.

#### **Transparency (notifying data subjects)**

- 5.10 The GDPR requires data controllers to provide detailed, specific information to data subjects depending on whether the information was collected directly from data subjects or from elsewhere. Such information must be provided through appropriate Privacy Notices which must be concise, transparent, intelligible, easily accessible, and in clear and plain language so that a data subject can easily understand them.
- 5.11 Whenever the Council collects personal data directly from data subjects, including for human resources or employment purposes, the Council must provide the data subject with all the information required by the GDPR including the identity of the Data Controller and DPO, how and why the Council will use, process, disclose, protect and retain that personal data through a Privacy Notice which must be presented when the data subject first provides the personal data.
- 5.12 When personal data is collected indirectly (for example, from a third party or publicly available source), you must provide the data subject with all the information required by the GDPR as soon as possible after collecting/receiving the data. You must also check that the personal data was collected by the third party in accordance with the GDPR and on a basis which contemplates the proposed processing of that personal data.

**6. Purpose limitation**

- 6.1 Personal data must be collected only for specified, explicit and legitimate purposes. It must not be further processed in any manner incompatible with those purposes.
- 6.2 Personal data for new, different or incompatible purposes from that disclosed when it was first obtained cannot be processed, unless the data subject is informed of the new purposes and they have consented, where necessary.

**7. Data minimisation**

- 7.1 Personal data must be adequate, relevant and limited to what is necessary in relation to the purposes for which it is processed. When personal data is no longer needed for specified purposes, it must be deleted or anonymised in accordance with the Council's Retention Policy.

**8. Accuracy**

- 8.1 Personal data must be accurate and, where necessary, kept up to date. It must be corrected or deleted without delay when inaccurate. Personal data must be checked for accuracy at the point of collection and at regular intervals afterwards. All reasonable steps to amend inaccurate or out-of-date personal data must be made.

**9. Storage limitation**

- 9.1 Personal data must not be kept in a form which permits the identification of the Data Subject for longer than needed for the legitimate business purpose or purposes for which it was originally collected, including for the purpose of satisfying any legal, accounting or reporting requirements.
- 9.2 It is a requirement to inform data subjects in privacy notices regarding the retention periods for data.

**10. Security, integrity and confidentiality****Protecting Personal Data**

- 10.1 Personal data must be secured by appropriate technical and organisational measures against unauthorised or unlawful processing, and against accidental loss, destruction or damage.
- 10.2 The Council has developed, implemented and maintained safeguards including use of encryption and Pseudonymisation where applicable. The Council will regularly evaluate and test the effectiveness of those safeguards to ensure security of our processing of personal data.



10.3 The confidentiality, integrity and availability of personal data must be protected (definitions below):

- (a) Confidentiality means that only people who have a need to know and are authorised to use the personal data can access it.
- (b) Integrity means that personal data is accurate and suitable for the purpose for which it is processed.
- (c) Availability means that authorised users are able to access the personal data when they need it for authorised purposes.

## **11. Reporting a Personal Data Breach**

11.1 The GDPR requires Data Controllers to notify any personal data breach to the Information Commissioner's Office within 72 hours and, in certain instances, the data subject.

11.2 A personal data breach is a "*breach of security leading to accidental or unlawful destruction, loss, alteration, unauthorised disclosure of or access to personal data*"

11.3 If you know or suspect that a personal data breach has occurred, do not attempt to investigate the matter yourself. Immediately contact your Information Governance Representative. You should preserve all evidence relating to the potential personal data breach.

## **12. Transfer limitation**

12.1 The GDPR restricts data transfers to countries outside the EEA in order to ensure that the level of data protection afforded to individuals by the GDPR is not undermined. If a transfer of data is required to countries outside the EEA, contact your Information Governance Representative before the transfer is made.

## **13. Data Subject's rights and requests**

13.1 Data Subjects have rights when it comes to how we handle their personal data.

These include rights to:

- (a) withdraw consent to processing at any time;
- (b) receive certain information about the Data Controller's processing activities;
- (c) request access to their personal data that we hold;
- (d) prevent our use of their personal data for direct marketing purposes;

- (e) ask us to erase personal data if it is no longer necessary in relation to the purposes for which it was collected or processed or to rectify inaccurate data or to complete incomplete data;
- (f) restrict processing in specific circumstances;
- (g) challenge processing which has been justified on the basis of our legitimate interests or in the public interest;
- (h) request a copy of an agreement under which personal data is transferred outside of the EEA;
- (i) object to decisions based solely on Automated Processing, including profiling;
- (j) prevent processing that is likely to cause damage or distress to the data subject or anyone else;
- (k) be notified of a personal data breach which is likely to result in high risk to their rights and freedoms;
- (l) make a complaint to the supervisory authority; and
- (m) in limited circumstances, receive or ask for their personal data to be transferred to a third party in a structured, commonly used and machine readable format.

13.2 Notify your Information Governance Representative of any data subject requests and send a copy of the request to [dataprotection@hartlepool.gov.uk](mailto:dataprotection@hartlepool.gov.uk)

## **14. Accountability**

14.1 The Council must implement appropriate technical and organisational measures in an effective manner, to ensure compliance with data protection principles. The Council is responsible for, and must be able to demonstrate, compliance with the data protection principles.

14.2 The Council has adequate resources and controls in place to ensure and to document GDPR compliance including:

- (a) appointing a suitably qualified DPO;
- (b) implementing privacy by design when processing personal data and completing Data Protection Impact Assessments (DPIA) where processing presents a high risk to rights and freedoms of data subjects;
- (c) integrating data protection into internal documents, related policies, privacy guidelines, privacy notices;
- (d) regularly training staff on the GDPR, related policies and privacy guidelines and data protection matters including, for example, data subject's rights, consent, legal basis, DPIA and personal data

breaches. The Council must maintain a record of training attendance by staff; and

- (e) regularly testing the privacy measures implemented and conducting periodic reviews and audits to assess compliance, including using results of testing to demonstrate compliance improvement effort.

## **15. Record keeping**

- 15.1 The GDPR requires the Council to keep full and accurate records of all data processing activities.
- 15.2 The Council must keep and maintain accurate corporate records reflecting the processing activities including records of data subjects' consents and procedures for obtaining consents .
- 15.3 These records should include, at a minimum, the name and contact details of the Data Controller and the DPO, clear descriptions of the personal data types, data subject types, processing activities, processing purposes, third-party recipients of the personal data, personal data storage locations, personal data transfers, the personal data's retention period and a description of the security measures in place. In order to create such records, data maps should be created which should include the detail set out above together with appropriate data flows.

## **16. Training and Audit**

- 16.1 The Council are required to ensure all staff have undertaken adequate training to enable them to comply with the GDPR. The Council must also regularly test systems and processes to assess compliance.
- 16.2 The Council must regularly review all the systems and processes to ensure they comply with this Policy and check that adequate governance controls and resources are in place to ensure proper use and protection of personal data.

## **17. Privacy By Design and Data Protection Impact Assessment (DPIA)**

- 17.1 The Council are required to implement privacy by design measures when processing personal data by implementing appropriate technical and organisational measures (like Pseudonymisation) in an effective manner, to ensure compliance with data protection principles.
- 17.2 The Council must assess what privacy by design measures can be implemented on all programs/systems/processes that process personal data by taking into account the following:
  - (a) the state of the art;

- (b) the cost of implementation;
- (c) the nature, scope, context and purposes of processing; and
- (d) the risks of varying likelihood and severity for rights and freedoms of data subjects posed by the processing.

17.3 The Council must also conduct DPIAs in respect to high risk processing. A template is available from the DPO.

17.4 A DPIA must be conducted (and findings discussed with the DPO) when implementing major system or business change programs involving the processing of personal data including:

- (e) use of new technologies (programs, systems or processes), or changing technologies (programs, systems or processes);
- (f) Automated processing including profiling and ADM;
- (g) large scale processing of sensitive data; and
- (h) large scale, systematic monitoring of a publicly accessible area.

A DPIA must include:

- (i) a description of the processing, its purposes and the Data Controller's legitimate interests if appropriate;
- (j) an assessment of the necessity and proportionality of the processing in relation to its purpose;
- (k) an assessment of the risk to individuals; and
- (l) the risk mitigation measures in place and demonstration of compliance.

## **18. Automated Processing (including profiling) and Automated Decision-Making (ADM)**

18.1 Generally, ADM is prohibited when a decision has a legal or similar significant effect on an individual unless:

- (a) a Data Subject has explicitly consented;
- (b) the processing is authorised by law; or
- (c) the processing is necessary for the performance of or entering into a contract.

18.2 If certain types of sensitive data are being processed, then grounds (b) or (c) will not be allowed but such sensitive data can be processed where it is necessary (unless less intrusive means can be used) for substantial public interest like fraud prevention.

- 18.3 If a decision is to be based solely on automated processing (including profiling), then data subjects must be informed when you first communicate with them of their right to object. This right must be explicitly brought to their attention and presented clearly and separately from other information. Further, suitable measures must be put in place to safeguard the data subject's rights and freedoms and legitimate interests.
- 18.4 The Council must also inform the data subject of the logic involved in the decision making or profiling, the significance and envisaged consequences and give the Data Subject the right to request human intervention, express their point of view or challenge the decision.
- 18.5 A DPIA must be carried out before any automated processing (including profiling) or ADM activities are undertaken.

## **19. Direct marketing**

- 19.1 The Council are subject to certain rules and privacy laws when marketing to customers. For example, a Data Subject's prior consent is required for electronic direct marketing (for example, by email, text or automated calls).
- 19.2 The right to object to direct marketing must be explicitly offered to the data subject in an intelligible manner so that it is clearly distinguishable from other information.
- 19.3 A data subject's objection to direct marketing must be promptly honoured.

## **20. Sharing Personal Data**

- 20.1 Generally, the Council are not allowed to share personal data with third parties unless certain safeguards and contractual arrangements have been put in place.
- 20.2 The Council may only share the personal data we hold with third parties, such as our service providers if:
- (a) they have a need to know the information for the purposes of providing the contracted services;
  - (b) sharing the personal data complies with the privacy notice provided to the Data Subject and, if required, the data subject's consent has been obtained;
  - (c) the third party has agreed to comply with the required data security standards, policies and procedures and put adequate security measures in place;
  - (d) the transfer complies with any applicable cross border transfer restrictions; and

- (e) a fully executed written contract that contains GDPR approved third party clauses has been obtained.

## 21. Further details

### 21.1 Contact your Information Governance Representative if you are:-

- (a) unsure of the lawful basis which you are relying on to process Personal Data);
- (b) need to rely on consent and/or need to capture explicit consent;
- (c) if you need to draft privacy notices;
- (d) if you are unsure about the retention period for the personal data being processed;
- (e) if you are unsure about what security or other measures you need to implement to protect personal data;
- (f) if there has been a data breach or a suspected data breach;
- (g) if you need to transfer data outside the EEA;
- (h) if you need any assistance dealing with any rights invoked by a data subject;
- (i) whenever you are engaging in a significant new, or change in, processing activity which is likely to require a Data Protection Impact Assessment or plan to use personal data for purposes other than what it was collected for;
- (j) If you plan to undertake any activities involving Automated Processing including profiling or Automated Decision-Making;
- (k) If you need help complying with applicable law when carrying out direct marketing activities; or
- (l) if you need help with any contracts or other areas in relation to sharing personal data with third parties.

### 22.2 Contact details for the Information Governance Group are as follows:-

<b>Adult and Community-Based Services</b>	Trevor Smith 523950
<b>Children's and Joint Commissioning</b>	Kay Forgie 284119
<b>Public Health</b>	Michelle Chester 852837

<b>Regeneration &amp; Neighbourhoods Department</b>	Steve Russell 523031
<b>Chief Executive's Department / Corporate ICT</b>	Paul Diaz 284280
<b>Internal Audit</b>	Sharon Bramley (audit) 07825 272790
<b>Chief Executive's (Finance)</b>	Carol Purdy (Finance) 525200
<b>Human Resources</b>	Christopher Pendlington (HR) 284039
<b>Legal/Data Protection Officer</b>	Laura Stones (Legal) 523087

# FINANCE AND POLICY COMMITTEE

30 July 2018



**Report of:** Director of Finance and Policy

**Subject:** CORPORATE PROCUREMENT QUARTERLY  
REPORT ON CONTRACTS

## 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 For information only.

## 2. PURPOSE OF REPORT

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

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

## 3. BACKGROUND

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

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



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

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

#### 4. INFORMATION FOR REVIEW

##### 4.1 Tender information

**Appendix A** details the required information for each procurement tender awarded since the last quarterly report.

##### 4.2 Exemption information

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

##### 4.3 Commercial / Confidential information

**Appendix C** includes the commercial information in respect of the tenders received and any confidential information relating to Contract Procedure Rule exemptions or contract extensions.

**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).**

## **5. RISK IMPLICATIONS**

- 5.1 This report is for information only. There are no risk implications attached to this report.

## **6. FINANCIAL CONSIDERATIONS**

- 6.1 This report is for information only. There are no financial considerations attached to this report.

## **7. LEGAL CONSIDERATIONS**

- 7.1 This report is for information only. There are no legal considerations attached to this report.

## **8. CONSULTATION**

- 8.1 No consultation required. Report for information only.

## **9. CHILD AND FAMILY POVERTY**

- 9.1 This report is for information only. There are no child and family poverty implications attached to this report.

## **10. EQUALITY AND DIVERSITY CONSIDERATIONS**

- 10.1 This report is for information only. There are no equality and diversity considerations attached to this report.

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

- 11.1 This report is for information only. There are no Section 17 considerations attached to this report.

**12. STAFF CONSIDERATIONS**

- 12.1 This report is for information only. There are no staff considerations attached to this report.

**13. ASSET MANAGEMENT CONSIDERATIONS**

- 13.1 This report is for information only. There are no asset management considerations attached to this report.

**14. RECOMMENDATIONS**

- 14.1 That the Committee note and comment on the contents of the report,

**15. REASONS FOR RECOMMENDATIONS**

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

**16. BACKGROUND PAPERS**

- 16.1 There are no background papers.

**17. CONTACT OFFICER**

- 17.1 Chris Little  
Director of Finance and Policy  
Civic Centre  
Victoria Road  
Hartlepool  
TS24 8AY  
Email [chris.little@hartlepool.gov.uk](mailto:chris.little@hartlepool.gov.uk)  
Tel: 01429 523003

## Tender Information

Date of Contract Award	Contract Name and Reference Number	Description of Goods / Services being procured	Duration of Contract (optional extensions in brackets)	Department / Service area procuring the goods / services	Details of Bidders	Location of Bidder	Basis of award decision if not lowest/highest price payable / receivable	Outcome of contract letting procedures	Previous Provider / Location
26/1/18	The Provision of Domiciliary Care Services/ Contract Reference 900-2018	<p>Hartlepool Borough Council wishes to invite registered domiciliary care providers to tender for the provision of domiciliary care services in Hartlepool.</p> <p>The primary objective of the service is to enable people living in the Hartlepool community to remain living at home for as long as possible and maintain a good quality of life which meets their identified outcomes. Service users should be able to achieve and maintain their maximum levels of independence and self-care allowing to live more independently with dignity.</p>	The contracts will commence 1 <sup>st</sup> April 2018 for a term of 3 years with options to extend on a 12 month rolling basis until 31 <sup>st</sup> March 2023, subject to satisfactory performance and current demand.	C&A - Commissioning	<p>Careline Homecare Limited</p> <p>Clece Care Services Limited</p> <p>Hartlepool Care Services Limited</p>	<p>London</p> <p>London</p> <p>Hartlepool</p>	<p>30% - Price</p> <p>70% - Quality</p>	<p>Clece Care Services Limited</p> <p>Hartlepool Care Services Limited</p>	<p>Careline Homecare Limited London</p> <p>Hartlepool Care Services Limited Hartlepool</p>
22/3/18	Document Printing Services Framework Contract Reference 227-2018	The Council is seeking a responsive and reliable provision for printed Documents and related services, in particular, Printed Envelopes, Promotional Leaflets, Posters etc. taking into consideration the Council's Corporate Priorities. Hartlepool Borough Council operates an internal central print	4 Years	Chief Executives	<p>AGNE Ltd trading as AlphaGraphics</p> <p>Atkinson (Printers) Ltd</p> <p>Ord Office Ltd</p> <p>Potts Print</p>	<p>Stockton</p> <p>Hartlepool</p> <p>Hartlepool</p>	100% Price over the various categories. Having reached a minimum Quality Standard.	<p>AlphaGraphics</p> <p>Atkinson (Printers) Ltd</p> <p>Ord Office Ltd</p> <p>Potts Print</p>	<p>AlphaGraphics</p> <p>Atkinson (Printers) Ltd</p> <p>Blp (Northern) Ltd</p>

## 7.1 APPENDIX A

		room and requirements which cannot be fulfilled from the print room may be required from the successful Bidder(s).			(UK) Ltd	Cramlington		(UK) Ltd	Potts Print (UK) Ltd
23/3/18	Adult Education IT System Contract Reference 821-2017	Hartlepool Borough invite tenders from appropriately qualified and experienced organisations with the capacity to provide a proven tried and tested Management Information System for their Adult Education	In perpetuity	R & N	Compass Computer Consultants trading as Advanced  Capita Business Services Ltd  Tribal Education Limited	Datchet, Berkshire  Trowbridge Wiltshire  Sheffield	70% Quality 30% Price	Tribal Education System	N/A
26/3/18	360° Wheeled Excavator/ Materials Handler Contract Reference 927-2018	Hartlepool Borough Council is seeking to procure 1 x 360° wheeled excavator/materials handler, C/w elevated cab with a minimum operating weight of 19,000 - 22,000kg for delivery by week commencing 2 <sup>nd</sup> July 2018.	N/A	R & N	Finning (UK) & Ireland  JCB  Liebherr - Great Britain Ltd	Staffordshire  Staffordshire  Bedfordshire	100% Price	Liebherr – Great Britain Ltd	N/A
17/4/18	Annual Wildflower Meadows Contract Reference 948-2018	To provide a quotation per m2 to supply hardy annual wildflower seed including cultivation and mechanically sowing the same as to create wildflower meadows within various locations throughout the borough.	1 year (plus 2 x 12 month extension)	R & N	The Green Estate	Sheffield	100% Price	The Green Estate	N/A

10/5/18	The Provision of Carers in Hartlepool, Contract Reference 652-2018	The service will be available to all Carers who provide care and support to a parent, grandparent, sibling or close relative who are ordinarily resident in the borough of Hartlepool. In particular, this Service will support and facilitate Carers to meet individual outcomes and achieve equal access to a life in relation to health, well being education, training and/or employment.	The Contract will commence on the 1 <sup>st</sup> June 2018 for a period of 3 years subject to funding with the potential for up to a further 2 x 12 month extensions subject to performance and funding.	C&A - Commissioning	Hartlepool Carers  Hartlepool & District Hospice	Hartlepool  Hartlepool	80% - Quality  20% - Price	Hartlepool Carers	Hartlepool Carers, Hartlepool
11/06/18	Insurance Services/Contract Reference 925-2018	Insurance Services, specific lots for Material Damage Package, Fidelity Guarantee, Combined Liabilities, Motor Fleet, Personal Accident & Travel and School Journey, Engineering Package	5 years with the option to extend 2 x 12 months	CEX	British Engineering Services Limited  Maven Public Sector  Protector Forsikring  Risk Management Partners  Travelers Insurance Co. Limited  Zurich Municipal	Manchester  London  Manchester  London  Surrey  Hampshire	70% - Price  30% - Quality	Lot 1 – Material Damage (inc. Terrorism) Travelers Insurance Co. Limited  Lot 1B – Contractors All Risks (inc. Terrorism) Risk Management Partners  Lot 2 –	Lot 1 – Material Damage (inc. Terrorism) Risk Management Partners / AIG  Lot 1B – Contractors All Risks (inc. Terrorism) Risk Management Partners / HSB

## 7.1 APPENDIX A

								<p>Fidelity Guarantee Risk Management Partners</p> <p>Lot 3 – Casualty Protector Forsikring</p> <p>Lot 4 – Motor Maven Public Sector</p> <p>Lot 5A – Personal Accident &amp; Travel Maven Public Sector</p> <p>Lot 5B – School Journey Risk Management Partners</p> <p>Lot 6 Engineering Inspection &amp; Insurance Risk</p>	<p>Lot 2 – Fidelity Guarantee – Risk Management Partners / AIG</p> <p>Lot 3 – Casualty – Risk Management Partners / QBE Insurance Group</p> <p>Lot 4 – Motor Zurich</p> <p>Lot 5A – Personal Accident &amp; Travel – Risk Management Partners / AIG</p> <p>Lot 5B – School Journey – Risk Management Partners / AIG</p> <p>Lot 6 – Engineering Inspection &amp; Insurance –</p>
--	--	--	--	--	--	--	--	--	---

## 7.1 APPENDIX A

								Management Partners	Risk Management Partners / HSB
11/6/18	Window Replacement at High Tunstall College of Science. Contract Reference 951-2018	HBC is seeking tenders for the replacement of existing windows and doors with new windows, doors and curtain walling as shown on the drawings and described in the specifications at High Tunstall College of Science D Block.	2 months	R & N	A C Aluminium Limited,  Dortech Architectural Services  Frostrree Limited  Polar NE Limited	Newton Aycliffe, Durham  Huddersfield  Middlesbrough  Middlesbrough	100% Price	Frostrree Limited	N/A
18/6/18	Roof Works at Lynnfield Primary School Contract Reference 952-2018	HBC is seeking tenders for the re-roofing of the existing roof as shown in the drawings and described in the specification at Lynnfield Primary School	2 months	R & N	Bryan Crisp & Sons  Dougall Roofing & Waterproofing  Hodgson Sayers Ltd	Cramlington  Newcastle  Stanley	100% Price	Bryan Crisp & Sons	N/A



## Procurements Exempted from Council Contract Procedure Rules

### Exemption Information

Dept	Service Unit	Company Name	Company Based at	Estimated Expenditure	Duration	Description	Approval
R&N	Building Design & Construction	Graitec Autodesk	Southampton	£18,100	05/02/18 - 04/02/19	Autocad Subscription for HBC	Approved by Tony Hanson, Chris Little, Peter Devlin and Denise Ogden on 31/01/18
C&A	Adult & Community Based Services	Chris Milner Associates	Hexham	£25,000	February 18 – August 18	Specific expertise is required to take two projects forward, relating to working age adult services and development of social enterprise models that support employment, and also in relation to training and career pathways within care.	Approved by John Lovatt, Jill Harrison, Peter Devlin and John Morton on 05/03/18
C&A	Adult & Community Based Services	Disabled Go Limited	Letchworth Garden City	£21,750 & £5100 per annum	01/04/18 – 31/03/21	Disabled Go It Services for the Adult Social Care Programme	Approved by John Lovatt, Sandra Shears, Peter Devlin and Jill Harrison on 19/03/18
C&A	Childrens and Joint Commissioning Services	Teaching Personnel	Newcastle	£25,000	01/03/18 – 31/03/18	Specialist teaching staff via an agency who can provide services to vulnerable children and young people.	Approved by Mark Patton, Chris Little, Hayley Martin and Sally Robinson on 26/03/18
C&A	Childrens and Joint Commissioning Services	Belle Vue Centre	Hartlepool	£10,000	01/01/18 - 31/03/19	Specialist tutoring services for vulnerable children and young people	Approved by Mark Patton, Chris Little, Hayley Martin and Sally Robinson on 26/03/18

R&N	R&N Building Design & Construction	Jupiter Play	Nottingham	£51,316	One Off Procurement	External Client to pay for replacement of existing Games Area removed to accommodate assisted living bungalows at Burbank	Approved by Denise Ogden, Chris Little and Hayley Martin 29/03/18
R&N	Highways Maintenance (DSO)	Rosehill Polymers Group	Sowerby Bridge, West Yorkshire	£43,324	One off Procurement	Manufacture and Supply of unique speed cushions and Speed Tables	Approved by Tony Hanson, Denise Ogden and Chris Little on 10/04/18
R&N	R&N - Economic Regeneration	Mandragora Productions	Gateshead	£42,650	23/05/18 - 29.06.18	The provision of specialist research to inform the development of the Film and TV Studio's at Cleveland College of Art and Design's Lynn Street Campus.	Approved by Denise Ogden , Chris Little and Hayley Martin 20/04/18
C&A	C&A - CHILDRENS' SERVICES	Datix	London	£40,626	30/04/18 - 30/04/23	Procurement of a Clinical Incident Management System.	Approved by Danielle Swainston, Chris Little, Hayley Martin and Sally Robinson on 23/04/18
C&A	C&A - PLANNING & SERVICE INTEGRATION	Sue Reay Consulting	Stockton	£15,000	01/05/18- 31/10/18	To provide project management support to review 0-25 SEND services and support the development of an implementation plan.	Approved by Danielle Swainston, Chris Little and Hayley Martin 14/05/18
C&A	C&A - PLANNING & SERVICE INTEGRATION	Jo Malone Consultancy	Yarm	£15,000	01/05/18- 31/10/18	To provide business planning and project management expertise to lead the development and implementation of the CQC improvement plan.	Approved by Danielle Swainston, Chris Little and Hayley Martin 14/05/18

CEX	CED - CUSTOMER AND BUSINESS	Solutions Developed Ltd	Thornton	£3,280	May 18 – June 18	To provide a new "App" for the public to use the new Firmstep customer platform.	Approved by John Morton, Chris Little and Hayley Martin 14/05/18
-----	-----------------------------------	----------------------------	----------	--------	---------------------	--	---

**Extension Information**

Dept	Service Unit	Company Name	Company Based at	Estimated Expenditure	Duration	Description	Approval
C&A	Childrens Commissioning	Hartlepool Carers	Hartlepool	£26,489	01/04/18 - 30/09/18	Contract Extension- Support Service for Young Carers in Hartlepool (01/04/18-30/9/18)	Approved by Jane Young, Peter Delvin, Chris Little and Sally Robinson on 28/01/18
C&A	Safeguarding, Assessment and Support	Changing Futures	Hartlepool	£12,880	01/04/18 - 31/03/19	Contract Extension - Independent Visitors Services (01/04/18 - 31/03/19)	Approved by Jane Young , Chris Little, Peter Devlin and Sally Robinson 15/02/18
C&A	Educational Psychology Team	Melanie Siddell/Sandra Saint - Independent Consultants	Hartlepool	£14,400 (£7,200 per consultant)	01/04/18 - 31/07/18	Contract extension - Feeling Good Moving on contract (01/04/18-31/07/18)	Approved by Mark Patton, Chris Little, Sally Robinson and Hayley Martin 26/03/18