

# **FINANCE AND POLICY COMMITTEE**

## **AGENDA**



**Tuesday 27 August 2019**

**at 11.00 am**

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

**MEMBERS:** FINANCE AND POLICY COMMITTEE

Councillors C Akers-Belcher, Brewer, Brown, Hunter, Lindridge, Little, Marshall, Moore, Smith, Tennant and Young.

**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 22 July 2019.
- 3.2 To receive the minutes of the meeting of the Safer Hartlepool Partnership held on 21 June 2019.

**4. BUDGET AND POLICY FRAMEWORK ITEMS**

- 4.1 Final Outturn 2018/19 – *Corporate Management Team*

**5. KEY DECISIONS**

- 5.1 Navigation Point Car Park – *Director of Regeneration and Neighbourhoods*
- 5.2 Reshaping Drug and Alcohol Treatment Services - *Director, Children and Joint Commissioning Services and Director of Public Health*



## **6. OTHER ITEMS REQUIRING DECISION**

- 6.1 Revisions to Discretionary Housing Payments Administration Framework – *Director, Children's and Joint Commissioning Services*
- 6.2 Revisions to Local Welfare Support Administration Framework – *Director, Children's and Joint Commissioning Services*

## **7. ITEMS FOR INFORMATION**

- 7.1 Council Plan 2017/18 – 2019/20 - 6 Months Progress Update – *Chief Executive*
- 7.2 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 16 September, 2019 at 10.00 am  
Monday 14 October, 2019 at 10.00 am  
Monday 11 November, 2019 at 10.00 am  
Monday 9 December, 2019 at 10.00 am  
Monday 13 January, 2020 at 10.00 am  
Monday 10 February, 2020 at 10.00 am  
Monday 16 March, 2020 at 10.00 am



# **FINANCE AND POLICY COMMITTEE**

## **MINUTES AND DECISION RECORD**

22 JULY 2019

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

**Present:**

Councillor Shane Moore (In the Chair)

Councillors: Christopher Akers-Belcher, James Brewer, Paddy Brown, Dave Hunter, Jim Lindridge, Sue Little, Ann Marshall, Leisa Smith, John Tennant, and Mike Young.

Also Present: Councillor Tony Richardson.  
Edwin Jeffries, Unison Joint Branch Secretary

Officers: Gill Alexander, Chief Executive  
Hayley Martin, Chief Solicitor  
Neil Wilson, Assistant Chief Solicitor  
Chris Little, Director of Finance and Policy  
Claire McLaren, Assistant Director, Corporate Services  
Sally Robinson, Director of Children's and Joint Commissioning Services  
Dr Pat Riordan, Director of Public Health  
Tony O'Ceallaigh, Health Improvement Practitioner  
Jill Harrison, Director of Adult and Community Based Services  
Gemma Ptak, Assistant Director, Preventative and Community Based Services  
Denise McGuckin, Director of Regeneration and Neighbourhoods  
Julian Heward, Communications and Marketing Team  
David Cosgrove, Democratic Services Team

### **8. Apologies for Absence**

None.

### **9. Declarations of Interest**

None.

### **10. Minutes of the meeting held on 18 June 2019**

Received.

**11. Minutes of the meeting of the Health and Wellbeing Board held on 4 March 2019**

Received.

**12. Minutes of the meeting of the Safer Hartlepool Partnership held on 18 March 2019**

Received.

**13. Developing a New Council Plan 2020/21 – 2022/23**  
(Chief Executive)

**Type of decision**

Budget and Policy Framework.

**Purpose of report**

The purpose of the report was to ask the Committee to agree the proposed timetable for the development of a new Council Plan to cover the period 2020/21 to 2022/23. The report also sought the Committee's approval to the acceleration of three new priorities through the existing Council Plan 2017/18 – 2019/20.

**Issue(s) for consideration**

The Assistant Director, Corporate Services reported that as the current Council Plan was in its final year it was proposed that preparation begins on the development of a new Council Plan to cover the 2020/21 – 2022/23 period. The proposed timetable aimed to have the new Plan adopted by Council before the end of the current municipal year.

The following priorities have been identified for inclusion within the Council Plan for 2017/18 – 2019/20:

- Transforming outdoor play provision as part of our Neighbourhood Improvement Programme;
- Developing a Headland heritage and tourism strategy; and
- Accelerating an options appraisal and business case for sports and leisure facilities.

Members supported the proposals and the timetable outlined in the report.

**Decision**

1. That the development of a new Council Plan to cover the period 2020/21 - 2022/23 and the proposed timetable for developing it be approved.

2. That the acceleration of the three new priorities, set out above, be approved in the current year through the Council Plan 2017/18 – 2019/20.

**14. Community Safety Plan 2017-20 (Year 3)** *(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 3) and to refer the Plan to Council for adoption.

**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 3) had been agreed by the Safer Hartlepool Partnership on 21st June and was submitted as an appendix to the report for Members approval.

The Director stated that in accordance with the budget and policy framework the Finance and Policy Committee was asked to consider the content of the Community Safety Plan (Year 3) and refer the document to full Council for adoption.

Members supported the plan but there were also some concerns expressed at the deaths and significant harm associated with drug and alcohol misuse which were not reducing despite the significant input in this area by the Council and other agencies.

**Decision**

That in accordance with the budget and policy framework, Finance and Policy Committee refers the Community Safety Plan 2017-20 (Year 3) to full Council for adoption.

**15. Medium Term Financial Strategy (MTFS) 2020/21 to 2022/23** *(Director of Finance and Policy)*

**Type of decision**

Budget and Policy Framework.

**Purpose of report**

The purpose of the report was to update the MTFs and to enable Members to approve the 2020/21 budget timetable.

**Issue(s) for consideration**

The Director of Finance and Policy presented a detailed report updating Members on the MTFs and setting out a proposed timetable for the development of the Council budget for 2020/21. The report set out the situation with regards to the 2019/20 budget and the use of reserves and the issues that would have significant impact on the 2020/21 budget which included issues around the Government's Fair Funding Review and specific issues around looked after children.

The report highlighted that over the period 2015/16 to 2019/20 Government policies in relation to continued grant cuts and Council Tax referendum limits, including the Adult Social Care precept, have increased the proportion of local authority spending funded from Council Tax.

The report included a proposal aimed at tackling some of the issues related to looked after children. The Director of Children's and Joint Commissioning Services has identified that many of the drivers of demand in children's services are external to children's services, for example, those that predominantly relate to adult needs, issues and behaviours, such as substance misuse, domestic violence and adult mental health. There were also structural changes, which councils had very little influence over, that have had an impact upon children becoming and remaining looked after for longer. These included changes in legislation, emerging contextual safeguarding risks and wider social determinants linked to the impact of Universal Credit roll out, changes to housing provision and increasing poverty, deprivation, vulnerability and need in the town.

It was proposed the Council pilot a new service model with the aim of reducing the demand placed upon children's services through adopting a model that addresses the vulnerabilities within families using a multi-disciplinary whole family and system approach. The proposed model aimed to address the safeguarding concerns within the family, delivering timely dedicated interventions thus reducing need, escalation and reliance on council intervention.

While there was no specific budget to support the pilot scheme proposed it was recommended that part of the uncommitted reserves released as part of the Council Budget Strategy be utilised to support the proposal as a 'invest to save initiative'. It is proposed that £0.350m was committed to fund the new Children's Service pilot. This amount would cover the part year cost in 2019/20 and full year cost in 2020/21.

A detailed report will be consider by the Regeneration Services Committee on 24th July 2019 which will advise Members that on 29th September 2018

notification was received from Thirteen Group giving six months' notice of their intention to leave the Compass Choice Based Lettings (CBL) Partnership and adopt its own lettings policy from 1st April 2019. On 3rd December 2018 Thirteen Group agreed to extend its notice by 3 months and intend to leave on 1st July 2019. The report to the Regeneration Services Committee recommended that this Committee be requested to include an additional cost of £37,000 as a budget pressure. On the basis that Regeneration Services Committee Members approve this funding request on 24 July there would be a corresponding increase in the forecast budget deficit for 2020/21.

Members thanked the Director for the detailed report, which while not showing a particularly positive financial situation, did reflect the ongoing work the Director and officers were undertaking to deliver the budget for the local authority. Members asked if future reports could include some 'bench-marking against other local authorities to give some context to Hartlepool's situation.

A Member commented on the Council's art collection and whether some parts of that could be sold to bring in much needed income. Officers stated that there were restrictions on the sale of municipal collections though the Chair did support the 'sweating' of such assets through loans etc. which could create income for the Council. Reference was made to a previous scrutiny investigation into the Museum and Art Gallery Collection and the Director of Regeneration and Neighbourhoods undertook to circulate a copy to Members.

### Decision

1. That the report and the forecast budget deficits for 2020/21 and 2021/22 of between £5.699m and £7.473m, which now includes the Choice Based Letting recurring budget pressure of £37,000 be noted;
2. That the budget timetable detailed in the report be approved, noting that the timing of some reports and decisions would depend on when Government funding announcements were made, which was more uncertain than in previous years.
3. The forecast 2019/20 overspend on Looked after Children costs of £0.75m were noted that a future report to Committee would detail proposals for managing this position and the recurring impact in 2020/21;
4. That the release of £0.350m from the one off resources earmarked to support "Invest to save initiatives" and/or the "phased delivery of recurring savings" of £4.062m, be approved to establish a new Children's Service Team with the objective of reducing demand. It was noted that this funding would meet the 2019/20 part year and 2020/21 full year costs, and if this work was successful there would be a recurring budget pressure in 2021/22 of £0.230m.

## **16. Capital Maintenance Programme Update** *(Director of Regeneration and Neighbourhoods)*

### **Type of decision**

Key Decision test (i). General Exception Notice applies.

### **Purpose of report**

The report updated Members on the current financial position and sought approval to reallocate some of the Capital building maintenance budget due to priority changes or the need for a variation to the original funding approval.

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

The Director of Regeneration and Neighbourhoods reported the Finance and Policy Committee, held on 12th February 2018, had approved the capital maintenance programme for 2018/2020. The Council had, unfortunately, limited resources available to support the proposals detailed in the original report presented to Members in February 2018. The Director advised on the changes and variations to the original funding approval.

The changes included the reallocation of the funding originally committed to the Mill House Schemes, which together with the previously uncommitted funding, provided a balance of £285,838. It was proposed that this be utilised to fund a Mill House Leisure Centre Feasibility Study (£175,371), the Town Hall Theatre Boiler replacement and other upgrades (£50,191) and the Civic Centre Lift Replacement (£53,844). The proposals would leave only £6,430.98 as a contingency fund against the overall programme.

### **Decision**

Members noted the position of the Capital Building Maintenance Fund as detailed in the report and, in accordance with the authority delegated by Council within the approved MTFs, approved the variations to the original funding approval as reported.

## **17. Land at Brierton** *(Director of Regeneration and Neighbourhoods)*

### **Type of decision**

Key Decision (test (i) or (ii)) Forward Plan Reference No. RN32/18.

### **Purpose of report**

To seek approval to a sale of land at the former Brierton school site. The report had been intended for submission to the Committee on 24th June



2019, however, due to delays in the agreement of final terms there was a departure from the Forward Plan.

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

The Director of Regeneration and Neighbourhoods reported that the western part of the Brierton site, extending to approximately 7.87 acres / 3.18 hectares, had been surplus since the temporary use of the site in 2010/11. The site, as shown on the plan appended to the report, had been identified as a residential development site since the closure of the school and an outline planning permission (now lapsed) had been obtained for it in conjunction with the detailed planning consent required for the works to CETL and the PRU.

The marketing of the site had proven to be quite lengthy with a number of failed approaches, however, an offer had now been received from a major housing association for a development comprising approximately 50 no. affordable rented bungalows and 30 no. shared ownership bungalows, all for the elderly. The development will therefore present a significant provision of elderly persons' affordable accommodation. The terms of the offer are as set out in Confidential Appendix to the report which contained exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely, (para 3), information relating to the financial or business affairs of any particular person (including the authority holding that information).

As well as providing a capital receipt that would go towards the Council's capital receipts target, the construction of the development would also result in the payment of New Homes Bonus (subject to continuation of the scheme) and additional Council Tax.

Members welcomed the proposal though the Chair was concerned that the development was limited to older people when there was an unmet demand for bungalows for people with disabilities in the town. The meeting discussed some of the issues to be finalised in relation to the S.106 agreement relating to the development and the monies that would fund sport and recreation and the future use of new homes bonus from the development. It had been suggested some of this funding could contribute towards the provision of new tennis courts at the Brierton site.

### **Decision**

1. That the sale of the land shown on the plan appended to the report be approved in line with the terms of sale as set out in the Confidential Appendix to the report which contained 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).

2. That improvements to the Seaton Carew tennis courts be undertaken alongside the implementation of the tennis courts to be provided at the Brierton site utilising S.106 income and New Homes Bonus generated from the sale of the site.
3. That the use of the New Homes Bonus generated from this site be reviewed as part of the Medium Term Financial Strategy later in the year.

## **18. Sport and Leisure Facilities Option Appraisal, Feasibility Study and Design** *(Director of Adults and Community Based Services)*

### **Type of decision**

Key decision, Forward Plan Reference No. 07/18.

### **Purpose of report**

To seek support from the Finance and Policy Committee to progress an option appraisal, feasibility study and design works of a modern leisure facility to stage 2 of RIBA (Royal Institute for British Architects) plan of works, to replace Mill House Leisure Centre.

To seek approval to reallocate funding from the Capital Maintenance Programme to conduct a robust option appraisal, feasibility study and design works for the replacement of Mill House Leisure Centre and improvement of the Borough's sport and leisure facilities.

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

The Assistant Director, Preventative and Community Based Services reported that sustaining and improving the leisure, sport and physical activity offer in Hartlepool through the development of a new leisure facility is crucial for the health and wellbeing of the population.

The Mill House Leisure Centre had exceeded its lifespan and was no longer fit for purpose to meet the needs of the local population and compete in the wider leisure and physical activity marketplace.

The Hartlepool Playing Pitch and Indoor Facilities Strategy also identified the significance of replacing the Mill House Leisure Centre to ensure water space is protected for the population and to prevent a pressure in accordance to Sport England's Facility Planning Model.

The option appraisal, feasibility study and design will be informed by a programme of consultation that will be conducted throughout July and August 2019. The Council's building and design team has estimated a cost of £175,000 to fulfil the requirements of a feasibility study.

Given the age and life expectancy of Mill House Leisure Centre it was important to accelerate the timescales for progressing the options appraisal and feasibility study. At this stage there was no identified budget to meet the costs of the feasibility study. Within the approved Capital Maintenance Programme, however, there were a number of schemes linked to Mill House Leisure Centre valued at £223,000. To date approximately £38,000 of the allocated works within the Capital Maintenance Programme had been completed and £10,000 has been allocated for further essential pool plant works. £175,000 remained available for continued improvements to Mill House Leisure Centre and it was proposed that this is re-allocated to enable option appraisal, feasibility and design works to commence.

Members were concerned to see any replacement of the Mill House Leisure Centre being located in, or as near as possible, to the town centre. Access to leisure facilities for the elderly and specifically the disabled needed to be maintained and improved. Access to Seaton beach by wheelchair users was highlighted as something that had been discussed previously and raised by groups representing those with mobility issues.

#### **Decision**

1. That approval be given to the re-allocation of £175,000 from the planned Capital Maintenance Budget to meet the costs of the option appraisal, feasibility and design to RIBA 2 for the replacement of sport and leisure facilities for the Borough.
2. That the timescales proposed for delivery the programme as set out in the report be approved.

### **19. Reshaping Drug and Alcohol Treatment Service**

*(Director, Children and Joint Commissioning Services and Director of Public Health)*

#### **Type of decision**

Key Decision (tests (i) and (ii) apply) Forward Plan Reference No. CJCS082/18.

#### **Purpose of report**

To seek agreement from Finance and Policy Committee to approve the model for the future delivery of Drug and Alcohol Treatment Services and agree the procurement process for a new integrated model commencing from 1 April 2020.

**Issue(s) for consideration**

The Director of Children and Joint Commissioning Services and the Director of Public Health submitted a joint report proposing a model for the future delivery of drug and alcohol treatment services in Hartlepool.

At its meeting on 11 March 2019 the Committee considered four options for the delivery of the service and chose an enhanced variant of the current service “as it provided the most effective and integrated model for the delivery of substance misuse treatment and support services.”

Since then, Council officers had been developing the service specification and, at the same time, engaged a public health consultant with specialist knowledge in the design, development and delivery of substance misuse services. Through the development of the new specification, reviewing the current arrangements and considering examples of nationally recognised best practice, the need for a seamless model of service delivery that fully integrates the prescribing and psycho / social service delivery elements had been identified as the best way forward.

It was proposed, therefore, that the Council moved to a model where the whole service was commissioned. This option would provide the opportunity to deliver an evidence based whole treatment system around a key worker model with integrated prescribing, enhanced physical health care and psycho-social interventions under one leadership structure.

The report referred to the integrated model that aimed to reduce the demand within children’s services agreed as part of the MTFS report earlier on the agenda. As part of that team, adult substance misuse workers would be seconded into children’s services to deliver timely and focused interventions to address adult issues whilst safeguarding and promoting the welfare of the children and strengthening communities.

The commissioning of a new integrated service would require adherence to the Council’s Procurement and Contract Procedure Rules and TUPE may apply to existing staff.

The Unison Joint Branch Secretary was present at the meeting and spoke against the proposal expressing concern at the change of direction since the decision in March of this year and the lack of consultation with staff. Members also expressed their concern at the change in direction now proposed and stated that since the decision in March there had been reports of the service providing significantly better outcomes than previously.

The Committee Members raised a number of concerns regarding the change in direction and it was proposed that the report be deferred to the additional meeting in late August to allow time for officers to consider the points raised. It was also agreed that a Briefing event for Committee Members be held prior to the next meeting.

**Decision**

That consideration of the report be deferred to the meeting of the Committee to be held on 27 August 2019 and that prior to that meeting a Briefing session be held for Finance and Policy Committee Members.

Councillor Moore left the meeting at this point.

Councillor Young in the Chair.

## **20. Security and CCTV Community Monitoring Services** *(Director of Regeneration and Neighbourhoods)*

**Type of decision**

Key Decision test (i). General Exception Notice applies.

**Purpose of report**

The purpose of the report was to provide the Committee with details of a proposed tendering exercise to be carried out in 2019 for the provision of the Community Monitoring service in conjunction with Security Services.

**Issue(s) for consideration**

The Director of Regeneration and Neighbourhoods reported that the Committee at its meeting on 18 June 2018 considered the operation and performance of the security contract and whether in the future, when the contract was to be re-tendered, if there were potential synergies between the security contract and the Community Monitoring service which utilised the CCTV Control Centre based in the Civic Centre.

The report provided background to the relocation of the Community Monitoring Centre to the Civic Centre and its operation and some of the issues this posed. The Council's Community Monitoring Centre already operated in an integrated manner with the Security Service. The Centre operates as the 24/7 single point of contact for all alarm companies to inform the Council that a building alarm has been activated.

It was proposed that the delivery of the Community Monitoring service be included in the security services tendering exercise as an option. However, it is proposed that the service would continue to be provided from the existing monitoring centre. The tendering process would include both the potential combined service and the current security service alone in the options provided to tenderers.

Members expressed their concerns at some of the issues reported in relation to staffing in the Community Monitoring Centre. The Unison Joint Branch Secretary stated that they had concerns in relation to the staffing of

the Community Monitoring Centre if the service was to be externalised and a letter from the Trade Union had been received by the Chief Executive. Members suggested that as the contract linked to the MTFS process, it should be included in future MTFS reports to Committee.

### **Decision**

1. That a tendering exercise be carried out in 2019 for the provision of:-
  - (i) A combined Community Monitoring and Security Service, and/or
  - (ii) A Security Service only and the retention of an in-house Community Monitoring service, in line with the contract specification.
2. That future reporting of the contract form part of the MTFS process and reports.

Councillor Moore in the Chair.

## **21. Enforced Sale Policy** *(Director of Regeneration and Neighbourhoods)*

### **Type of decision**

Key Decision (ii). Forward Plan Reference No. RN 06/19.

### **Purpose of report**

The purpose of the report was to seek approval for a policy to use Law of Property Act 1925 powers to enforce the sale of land or property to recover debts registered, in favour of the Council, against the title of such.

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

The Director of Regeneration and Neighbourhoods reported that there are a number of statutes which confer the power to the Council to take action in default of the owner and allows a charge to be made against the title of the property or land to which it relates until the debt is recovered.

The debts resulting from action taken by the Council are pursued for recovery using the Council's usual processes but there are cases where these debts are not recovered. All debts associated with these actions are registered as local land charges and may be recovered when the property changes hands but this can take a considerable period of time.

Enforced Sale may be considered as a tool to bring empty properties back into use and is a less time consuming alternative to the use of a Compulsory Purchase Order. The enforced sale powers under the Law of Property Act 1925 cannot be used with respect to Council Tax and Business Rates debts. Such debts are pursued by other means, namely

action in the County and/or Magistrates courts following prescribed rules and regulations.

The report included a proposed Enforced Sale Policy which would need to be adopted to allow the Council to pursue such action. The proposed Policy was welcomed by Members.

### **Decision**

That the Enforced Sale Policy as reported be approved.

## **22. Neighbourhood Investment Programme and Highway Improvement Programme** *(Director of Regeneration and Neighbourhoods)*

### **Type of decision**

Non-key decision.

### **Purpose of report**

To provide an update on the capital investment programme that will deliver improvements to neighbourhoods across Hartlepool through the Neighbourhood Investment Programme and Highway Improvement Programme.

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

The Director of Regeneration and Neighbourhoods submitted a report which include both an updated Neighbourhood Investment Programme (NIP) and Highway Improvement Programme (HIP) and gave Members an overview of some of the main schemes in each that were programmed and those which had been completed.

Members welcomed the proposals set out in both documents and particularly thanked the Director for the reallocation of funding from roundabouts to provide enhanced play facilities. Members expressed a wish to see at least one piece of play equipment at each play area being accessible to disabled/wheelchair bound children and that this be incorporated into the standard for future play area development in Hartlepool. The implementation of disabled access to Seaton Carew beach was also referred to in the debate. The Director stated that the access had been costed but there would need to be further consideration of the prioritising of schemes in light of the funding available. The Chair referred to discussion he had had in relation to the development of three play hubs across the town.

The Director also updated Members on the replacement of the trees in Church Square. Members supported the detailed recommendations in the report.

**Decision**

1. The Committee noted the current progress on implementing the Neighbourhood Investment Programme and Highway Investment Programme.
2. The Committee approved the extension of the CCTV works to include sites in Church Square, Church Street, Summerhill and the Water Front, which can be accommodated within the £400,000 originally earmarked for barrier works.
3. The Committee approved the budget allocation of £13,000 towards the implementation of an improvement scheme at the Memorial Wood in Summerhill.
4. The Committee approved the proposed allocation of £6,000 towards the implementation of an environmental scheme at Spenser Grove.
5. The Committee approved the proposal to put on hold the works to roundabouts and agreed to reallocating the £200,000 for enhancements to Marine Crescent play area along with two other play areas in line with the developing Play Strategy, and cleaning the two statues in Church Street and Church Square and the Sculpture on Marina Way.
6. The Committee approved the amendments to the scheme in Stranton Cemetery to increase the capacity to the car park and provide a direct access to the space from Brierton Lane, allocating £50,000.
7. The Committee approved the proposed allocation of £34,000 towards street cleaning equipment.
8. The Committee approved the proposed inclusion of a section of Chichester Close (£6,000) and additional surfacing in the Avenue Road (£48,000) area within the Highway Improvement Programme.
9. The Committee noted the uncommitted balance of funding totalling £414,000.
10. That at least one piece of play equipment at each play area be accessible to disabled/wheelchair bound children and that this be incorporated into the standard for future play area development in Hartlepool.



## **23. Use of Child Poverty Reserve – Proposed Extension of Commissioning of Safe Families Provision** *(Director of Children's and Joint Commissioning Services)*

### **Type of decision**

Non-Key decision.

### **Purpose of report**

The purpose of this report was to provide Finance and Policy Committee with information relating the interventions and support for vulnerable families in Hartlepool provided by the Safe Families Project.

To seek funding from the Child and Family Poverty Reserve to extend the commissioning of the Safe Families Project for a further 12 months.

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

The Director of Children's and Joint Commissioning Services reported that Safe Families is a charity that works with children's services to link families in need with a network of local volunteers who can offer them support. Safe Families has operated across the north east and beyond since 2013 and had been working with Hartlepool's Children's Services since September 2018 when a pilot project commenced to trial the impact of the Safe Families offer on demand in children's services a service level agreement was in place to provide support to 24 families during the trial 12-month period and this comes to an end in September 2019. The project was funded in year one from non-recurrent funding which is no longer available.

The proposal was to extend the Safe Families project for a further 12 months at a cost of £30,000. It was requested that the funding be taken from the Child and Family Poverty Reserve as the work being undertaken by Safe Families supports a number of families in Hartlepool and was tackling the issues caused by poverty and deprivation. From 2020/21 indications were that through the National Spending Review, new funding, previously distributed under the Troubled Families agenda, may become available and this could be used to continue the contract if the Council considers that the contract is having a positive impact on demand and represents value for money. The report set out details of the current financial position of the Child and Family Poverty Reserve.

The Chair welcomed the proposal considering that the project provided a good use of the reserve in light of the families the project was helping in Hartlepool.

### **Decision**

That approval be given to the funding of £30,000 to maintain Safe Families Project for 2019/20 from the Child and Family Poverty Reserve.

**24. Any Other Items which the Chairman Considers are Urgent**

None.

Members noted that the next meeting of the Committee would be an additional meeting to be held on Tuesday 27 August 2019 commencing at 11.00 am in the Civic Centre, Hartlepool.

The meeting concluded at 12.05 pm.

**H MARTIN**

**CHIEF SOLICITOR**

**PUBLICATION DATE: 31 JULY 2019**

# **SAFER HARTLEPOOL PARTNERSHIP**

## **MINUTES AND DECISION RECORD**

21 JUNE 2019

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

**Present:**

Councillor Shane Moore (In the Chair)

Councillor John Tennant, Chair of Neighbourhood Services Committee  
Tony Hanson, Assistant Director, Environment and Neighbourhood Services  
Jill Harrison, Director of Adult and Community Based Services  
Sally Robinson, Director of Children's and Joint Commissioning Services  
Joanne Hodgkinson, Safe in Tees Valley (Voluntary and Community Sector representative)  
Chris Joynes, Thirteen Group  
Michael Houghton, NHS Hartlepool and Stockton-on-Tees Clinical Commissioning Group

**Also present:**

Councillor Gerard Hall, Chair of Audit and Governance Committee (Observer)  
Lisa Oldroyd, Police and Crime Commissioners Office (as substitute for Barry Copping, PCC)  
Kevin Harrison, Cleveland Fire and Rescue Authority (as substitute for Alan Brown)

Councillors Lee Cartwright and Tony Richardson.  
Julie Rudge, Hartlepool Crime Prevention Panel

**Officers:** Rachel Parker, Community Safety Team Leader  
David Cosgrove, Democratic Services Team

### **1. Appointment of Vice-Chair**

It was agreed that Superintendent Alison Jackson, Cleveland Police be re-appointed as Vice-Chair for the ensuing year.

### **2. Apologies for Absence**

Barry Copping, Police and Crime Commissioner  
Alan Brown, Cleveland Fire and Rescue Authority  
Gill Alexander, Chief Executive

Denise McGuckin, Director of Regeneration and Neighbourhoods  
Superintendent Alison Jackson, Cleveland Police  
Chief Inspector Nigel Burnell, Chair of Youth Offending Board

### **3. Declarations of Interest**

None.

### **4. Minutes of the meeting held on 18 March 2019**

Confirmed.

### **5. Presentation – Role of Safer Hartlepool Partnership** *(Director of Regeneration and Neighbourhoods)*

The Community Safety Team Leader gave a presentation to the meeting outlining the roles and responsibilities, the statutory obligations, the Partnerships priorities, and the delivery structure and sub groups.

#### **Decision**

That the presentation be noted.

### **6. Community Safety Plan 2017-20 (Year 3)** *(Director of Regeneration and Neighbourhoods)*

#### **Purpose of report**

To consider the annual refresh (Year 3) of the 2017-20 Safer Hartlepool Partnership Community Safety Plan.

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

The current Community Safety Plan, published in 2017 outlines 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. Following presentation and discussion of the key findings within the annual strategic assessment to the Safer Hartlepool Partnership in March 2019 a draft version of the refreshed Community Safety Plan (Year 3) was attached at Appendix A to the report, and subject to approval by the Partnership, would be considered by the Council's Finance and Policy Committee in July prior to being adopted by Council in September 2019.

The report set out the new proposed annual priorities for 2019-20 and the performance monitoring regime. This would include quarterly performance

reports and the review of Safer Hartlepool Partnership Task Group/Sub Group Action Plans. It was highlighted that there may need to be some changes to the reporting dates from the Task Groups due to the calendar of Partnership meetings in 2019/20.

The meeting briefly discussed some of the schemes around offenders released from prison and the Thirteen representative outlined a wrap-around services scheme for female prisoners that effectively met them at the prison gate and took them to pre-arranged housing with appropriate wrap-around services that would ensure that in the early days after release their 'need' to reoffend was minimised. The Chair also referred to a Community Payback scheme based on a successful scheme in Scotland where offenders were paired with past offenders who had successfully served their sentence and had not reoffended.

### **Decision**

1. That the draft Community Safety Plan 2017-20 (Year 3) be approved.
2. That the delivery structure and Task Group reporting timetable be approved subject to appropriate amendment to fit into the schedule of Partnership meetings for 2019/20.

## **7. Safer Hartlepool Partnership Performance** *(Director of Regeneration and Neighbourhoods)*

### **Purpose of report**

To provide an overview of Safer Hartlepool Partnership performance for Quarter 4 – January to March 2019 (inclusive).

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

The report provided an overview of Safer Hartlepool Partnership performance during Quarter 4, comparing current performance to the same time period in the previous year, where appropriate. The Community Safety Team Leader highlighted that all recorded crime in the Borough was up 9%. Anti-social behaviour incidents reported to the Police were down 21% though there were specific issues with rises in deliberately set fires (up 51%) and criminal damage to dwellings (up 17%).

In relation to victim based publically recorded crime there had been a reduction in hate crime reported but then numbers were low. The concern was around the violence without injury statistics which were up by 85 incidents (up 33%) and the stalking and harassment statistics up by 239 incidents (up 163%). The Chair noted that the statistics in relation to domestic violence had not been included in the report and asked that those statistics be circulated to Members.

The meeting briefly discussed vehicular crime particularly around vehicles left unlocked on driveways and also crime associated with empty properties in the town which were proving to be a particular problem for local residents.

### **Decision**

That the Quarter 4 performance statistics be noted.

## **8. Hartlepool Community Safety Team Update** *(Director of Regeneration and Neighbourhoods)*

### **Purpose of report**

To provide the Safer Hartlepool Partnership with an overview of the key activities of Hartlepool Community Safety Team (HCST) during its first year of operation.

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

The Assistant Director, Environment and Neighbourhood Services reminded the Partnership that Hartlepool Community Safety Team had been launched in February 2018 bringing together community safety staff from Hartlepool Borough Council, Cleveland Police, Cleveland Fire Brigade, and Cleveland Victim Care and Advice Service who were co-located at Hartlepool Police Station. The team aimed to improve information sharing and joint working, and ensures that Hartlepool communities benefit from a co-ordinated approach to tackling community safety issues.

The report updated the Partnership on some of the key activities undertaken by the team during the year together with some statistical information on the enforcement activities of the team. The Assistant Director also highlighted that in May 2019, Hartlepool Community Safety Team was awarded a ROSE (Recognition of Outstanding Service and Excellence) Gold level award for Continuous Improvement by the Police and Crime Commissioner for Cleveland, and the Cleveland Police Chief Officer Team. The Team received this award due to its pro-active and innovative use of Community Protection Notices to tackle problems facing Hartlepool.

The Chair welcomed the report and added his thanks to the team for their excellent performance and the positive effect they were having in the community. The meeting discussed what proactive measures the team were undertaking to prevent crime and antisocial behaviour. The Community Safety Team Leader indicated that the team responded to both public and police intelligence and reports, so actively encouraged the public

to report any instances of crime or antisocial behaviour so that a clear picture of any issues in a community could be established so the right resources and actions could be targeted.

**Decision**

That the report be noted.

**9. Any Other Items which the Chairman Considers are Urgent**

None.

It was noted that the next meeting would be held on 26 July 2019 commencement time to be confirmed.

The meeting concluded at 2.55 pm.

CHAIR

# FINANCE AND POLICY COMMITTEE

27<sup>th</sup> August 2019



**Report of:** Corporate Management Team

**Subject:** FINAL OUTTURN 2018/19

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## 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 2018/19.

## 3. 2018/19 REVENUE OUTTURN

- 3.1 In response to the significant ongoing financial challenges arising from continued Government grant cuts and service pressures the Council continued to carefully manage resources during 2018/19 and regular financial management reports were submitted to the Finance and Policy Committee. These reports anticipated a year end overspend in service based expenditure including significantly higher costs of increased numbers of Looked after Children and the impact of court decisions regarding these cases.
- 3.2 It was anticipated that that these costs could be offset by an under spend on corporate budgets alongside a review of all grants and other funding flexibilities as well as overachieving salary abatement targets and reducing discretionary spending.
- 3.3 The actual outturn for all Departmental budgets was an overspend of **£0.566m**, which highlights the financial and service pressures faced by the Council during 2018/19. The measures outlined in paragraph 3.2 provided a one off financial benefit of **£0.617m**, which slightly exceeded the Departmental budget overspend. Therefore, there is a net one off financial benefit of **£0.051m** transferred to the Budget Support Fund.



- 3.4 The actual outturn is a net overall underspend of £0.051m, as summarised below and detailed in **Appendix A**:

	Actual Over/ (Under) Spend  £'000
Departmental budgets	566
Corporate budgets	(12)
Sub Total	<b>554</b>
Grants / Salary Abatement	(605)
<b>Net overall Overspend</b>	<b>(51)</b>

- 3.5 As reported during the year the actual outturn reflects the following key issues:

### 3.6 **Chief Executives' Department**

- 3.7 The outturn under spend is predominately owing to voluntary redundancies, holding posts vacant to achieve 2019/20 savings and a reduction in spend against a range of non-pay budgets.

### 3.8 **Children's and Joint Commissioning Services**

- 3.9 The outturn position for Children's and Joint Commissioning Services was a net overspend of £0.814m. This consisted of an overspend of £1.849m within Looked After Children (LAC) budget areas, partly offset by an underspend of £1.035m in non-LAC areas.

- 3.10 The overspend within LAC budgets was in line with projections during the year and reflected an increase in LAC numbers across both in-house and high-cost residential placements. To address some of these budget pressures the 2019/20 MTFS included an additional £1m of funding as these pressures are expected to continue into 2019/20 and future years. Proposals for dealing with this on-going budget pressure were presented as part of the 'Medium Term Financial Strategy 2020/21 to 2022/23' report to Finance and Policy Committee on 22<sup>nd</sup> July 2019.

- 3.11 The non-LAC outturn position within Children's and Joint Commissioning Services consisted of a range of one-off underspends including early achievement of the 2019/20 Early Help savings (holding posts vacant and not spending across a range of non-pay budget areas), one-off grant income, incremental drift, slippage in relation to commencement of a housing services contract and staff vacancies.

### 3.12 **Regeneration and Neighbourhoods**

- 3.13 There was a £0.155m overspend which includes various income pressures across the Department, including income from Planning Fees and Building Design, Consultancy income from fees charged on Capital Projects and income in relation to the Town Hall Theatre and Borough Hall.
- 3.14 Passenger Transport costs continued to rise as a result of an increase in pupil numbers accessing 'Special Educational Needs' transport, including transport outside of the borough.
- 3.15 Pressures within Waste and Environmental Services resulted from increased waste disposal costs and reduction in recycling income.
- 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. Additional costs were also offset by favourable variances in Highways Maintenance as a result of lower than budgeted winter maintenance costs, lower than budgeted concessionary travel scheme costs following successful negotiations with Bus Operators, lower borrowing and maintenance costs in relation to the Headland Coast Protection Scheme and salary savings as a result of vacant posts across the department.
- 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 underspend is after earmarking one-off resources to fund expenditure commitments rephased from 2018/19 to 2019/20. In accordance with accounting regulations these amounts must be carried forward as reserves. Details of these reserves are provided in Table 3 of Appendix A and total £0.982m.

#### **4. SPECIFIC GRANT REGIMES**

- 4.1 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 2018/19. 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 2019/20.
- 4.2 Details of these grants are provided in Table 3 of Appendix A which has a combined total of £0.117m.

#### **5. HOUSING REVENUE ACCOUNT**

- 5.1 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 Governments new limit of 200, which was announced in a Ministerial Statement on 20 March, 2015. Details of the outturn are shown at **Appendix F**. The revenue outturn was a deficit of £0.190m. This has reduced the HRA balance from £0.537m at 31<sup>st</sup> March 2018 to £0.347m at

31<sup>st</sup> March 2019, which is a significant reduction and this level of deficit is not sustainable.

- 5.2 The HRA deficit was higher than previously forecast as a result of void properties that have a detrimental impact on rent income, repairs expenditure and council tax. The original budget had anticipated that these would have reduced compared to 2017/18 but this has not been the case.
- 5.3 A range of measures have been introduced to tackle the voids problem, including the introduction of the Discretionary Housing Payments scheme to help single people on benefit afford the rent in relation to 2 bedroom empty properties. The take up of the scheme was initially slow during 2018/19 but has since improved. In addition 18 void properties are being let to Mears for the purpose of housing asylum seekers. The addition of New Build and High Quality properties, which have been fully funded by Homes England grant and Section 106 has also helped to reduce the deficit which is forecast to be in line with the budgeted deficit of £53,000 in 2019/20.

## **6. CORPORATE INCOME COLLECTION PERFORMANCE**

- 6.1 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 60% (i.e. £58.1m) 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.

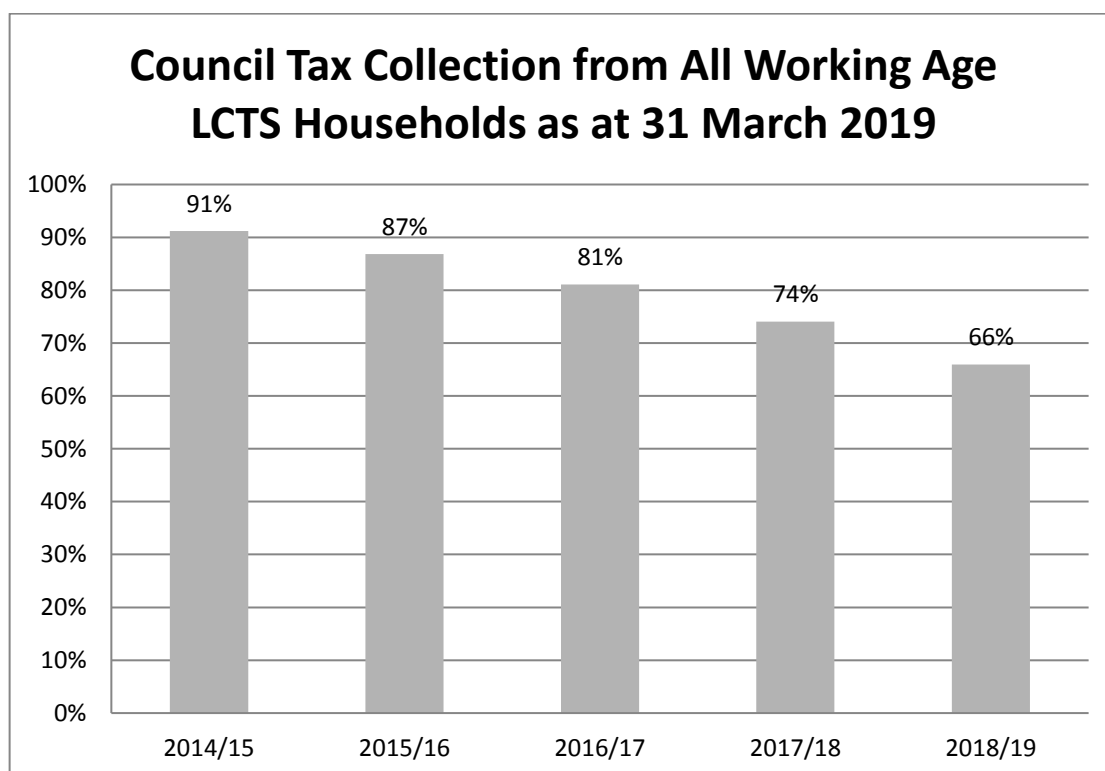
### **6.2 Business Rates Income**

- 6.3 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.
- 6.4 Collecting Business Rates has always been an important responsibility, and the Council collected 99.5% in 2018/19, an improvement of 0.6% on 2017/18. There are currently no national comparator statistics published for 2018-19. 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).

### **6.5 Council Tax**

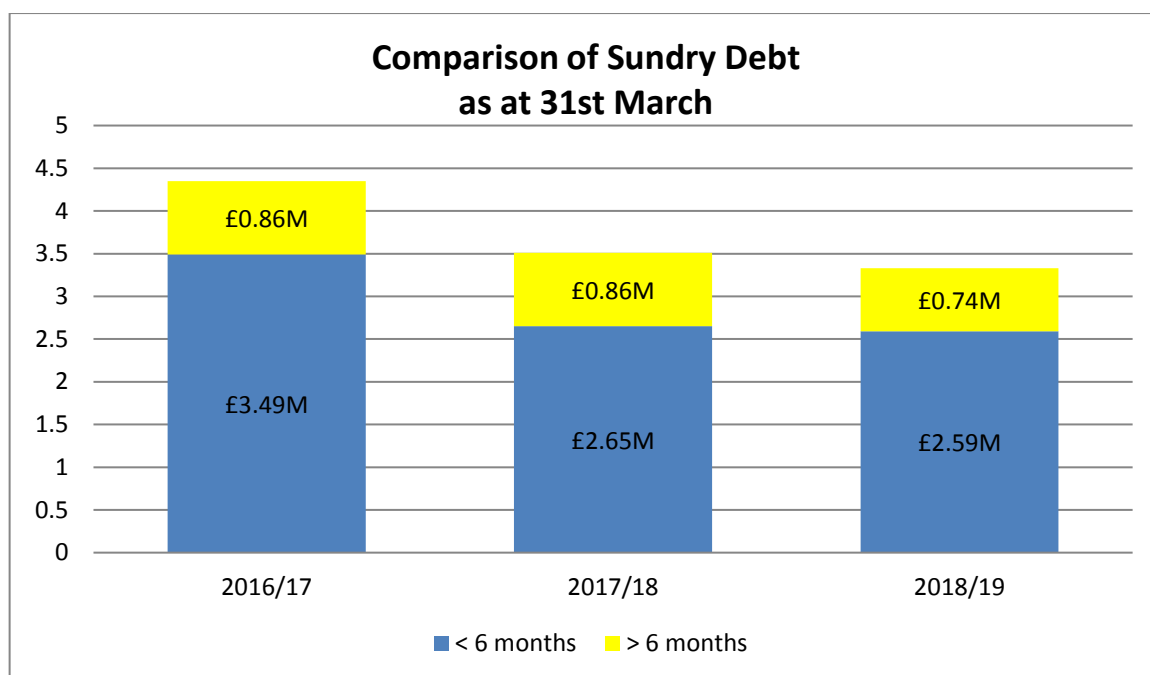
- 6.6 The Council Tax collection rate for 2018/19 was 95.7%, the same collection rate as 2017/18. There are currently no national comparator statistics published for 2018/19 and details will be reported when available.

- 6.7 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).
- 6.8 There are approximately 8,700 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.



## 6.9 Sundry Debts

- 6.10 The Council also collects significant Sundry Debts income for the payment of services provided by the Council. In total £31.5m of sundry debts were raised in 2018/19. At 31st March 2019, £29.5m (93.6%) of this amount had been collected.
- 6.11 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.



- 6.12 Included within current debts (less than 6 months old) is debt where the customer has been invoiced in March in advance for 2019/20. Payment for these debts will be made in installments throughout the year.
- 6.13 Debts greater than six months old total £0.74m. 98.66% of this amount was under recovery action and 1.34% (£9,880) was considered unrecoverable and will be reported to Members for write off.

## 7. 2018/19 CAPITAL OUTTURN

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

	BUDGET	EXPENDITURE IN CURRENT YEAR			
	A	B	C	D	E
				B+C	D-A
	2018/19 Budget	2018/19 Actual 31/03/2019	Expenditure Re-phased to 2019/20	2018/19 Total Expenditure	2018/19 Variance from Budget
	£'000	£'000	£'000	£'000	£'000
Adult & Community	2,768	1,522	1,246	2,768	0
Children & Joint Commissioning	10,372	6,521	3,851	10,372	0
Regeneration & Neighbourhoods	33,261	16,336	16,925	33,261	0
Chief Executive	144	14	130	144	0
Corporate	4,899	1,734	3,165	4,899	0
<b>Total Capital Expenditure</b>	<b>51,444</b>	<b>26,127</b>	<b>25,317</b>	<b>51,444</b>	<b>0</b>

- 7.2 Capital expenditure of £25.317m will be re-phased to 2019/20 and capital resources have been carried forward to fund these commitments. Further details of the schemes being rephased are provided in the capital appendices G to K.

### 7.3 Adult & Community Based

- 7.4 A total of £1.246m was rephased at the end of 2018/19. This mainly relates to the Centre for Independent Living 'sinking fund' (£0.228m) and the following three programmes where works will continue in 2019/20 (£0.747m) – Disabled Facilities Grant, Chronically Sick and Disabled Persons Adaptations and Capital Grants to Residential/Nursing Care Homes (funded by iBCF grant). Details for individual schemes are shown in Appendix G.

### 7.5 Children & Joint Commissioning

- 7.6 A total of £3.851m was rephased at the end of 2018/19. This was predominantly owing to Basic Need grant funding of £1.670m and suitability funding of £0.796m which have yet to be allocated to projects. A number of projects are expected to be completed in 2019/20, details for these individual schemes are shown in Appendix H.

### 7.7 Regeneration & Neighbourhoods

- 7.8 Regeneration and Neighbourhoods services incurred £16.336m expenditure against a budget of £33.261m. Consequently £16.925m has been rephased into 2019-20 to fund capital expenditure commitments. Details for individual schemes are shown on Appendix I.

### 7.9 Corporate

- 7.10 Corporate incurred £1.734m expenditure against a budget of £4.899m. £3.165m has been rephased into 2019-20 to fund capital expenditure commitments. Details for individual schemes are shown on Appendix K.

### 7.11 Section 106 Developers Contributions

- 7.12 The level of contributions for housing and non - housing service areas as at 31<sup>st</sup> March 2019 is summarised in the following table. A detailed breakdown is included in **Appendix L**.

Section 106 Funding	Affordable Housing Contributions £000	Other Service Areas £000	Total £000
Amount brought forward as at 1st April, 2018	538	655	1,193
Amounts Received as at 31 <sup>st</sup> March, 2019	2,046	392	2,438
Budgets allocated to schemes	(918)	(51)	(969)
<b>Uncommitted Balance as at 31<sup>st</sup> March, 2019</b>	<b>1,666</b>	<b>996</b>	<b>2,662</b>

## 8. CAPITAL RECEIPTS TARGET

- 8.1 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.
- 8.2 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 significantly longer to achieve than initially anticipated. As reported previously the remaining target is £2.648m.

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

Description	Capital Receipts Target £'000
Remaining Target	2,648
Actual Net Capital Receipts to 31 March 2019	(236)
<b>Capital Receipts Still to be Achieved to Meet Original Target</b>	<b>2,412</b>

- 8.3 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 2018/19 and £0.568m has been rephased into future years. This resulted in a lower amount of temporary prudential borrowing of £1.844m at the end of the year (i.e. £2.412m remaining target less £0.568m rephased expenditure). The interest cost of this temporary prudential borrowing is approximately £14,000 and has been funded as part of the Council's interest budget.
- 8.4 As reported to Finance and Policy Committee on 22<sup>nd</sup> July 2019 a substantial receipt is anticipated in 2019/20 in relation to the sale of land at Brierton. This will make a significant contribution to the remaining capital receipts target upon completion of the sale. In addition officers are progressing the sale of land at Hart for completion in the current financial year. It is anticipated that these receipts should cover the majority of the remaining capital receipts target.

## 9. CONCLUSION

- 9.1 As detailed in paragraph 3.3 and previous MTFs reports there continues to be significant pressure on departmental budget, including the continued impact of increased looked after children costs. These pressures resulted in an overspend on departmental budgets of £0.566m. This position had been recognised during 2018/19 and corrective action was taken to identify one off underspends and resources to address this position. This action was successful as these measures exceeded the department overspend and enabled a net contribution of £0.051m to be made to the Budget Support Fund. However, these one off measures cannot be relied upon on a recurring basis, although pressures are

continuing on departmental budget in 2019/20, particularly in relation to looked after children costs.

- 9.2 The HRA financial position was also very challenging during 2018/19 and a deficit of £0.190m had to be funded from HRA reserves. This position reflect a high level of voids and actions have been taken to address this issue. However, the in-year deficit reduced the HRA Balance from £0.537m to £0.347m, which is a significant reduction and this level of deficit is not sustainable.
- 9.3 The capital receipts target still to be achieved to meet the original target is £2.412m following the receipt of £0.236m in year. It is anticipated that the remaining balance will be achieved from planned receipts and progress will continue to be made.

## **10. RECOMMENDATIONS**

- 10.1 It is recommended that Members:

- i) Note the report, including the transfer of the net General Fund underspend of £0.051m to the Budget Support Fund.
- ii) Note as at 31<sup>st</sup> March 2019 capital receipts of £2.412m still remain to be achieved from future planned land sales.

## **11. BACKGROUND PAPERS**

Strategic Financial Management Report – as at 31<sup>st</sup> December 2018 report to Finance and Policy Committee 12.02.19.

Strategic Financial Management Report – as at 30<sup>th</sup> September 2018 to Finance and Policy Committee 26.11.18.

Strategic Financial Management Report – as at 31<sup>st</sup> July 2018 to Finance and Policy Committee 03.09.18.

## **12. CONTACT OFFICER**

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Director of Finance & Policy  
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Tel: 01429 523002



**Table 3****New Reserves to be Created at Year End**

	<b>Outturn</b>
	<b>£'000</b>
<b>General Fund Reserves</b>	
Human Resources & Health and Safety - reserve to cover loss of income.	70
Human Resources/Apprenticeship Support - reserve for a fixed term contract.	24
Financial Systems Development - to fund one-off System Development Projects in 2019/20.	50
Digital Development of Firmstep - to fund the development of Firmstep.	20
Corporate Training Programme Reserve - reserve to fund the Corporate Training Programme in 2019/20.	25
Education Psychology - to fund additional Psychologist time required to support schools	68
Income Risk Reserve - to fund potential loss of school buy-back income	30
Football Development - Contribution to Sinking Fund	25
DCLG Levy Refund - Used to set the 2019/20 budget	431
Brexit Funding - carried forward into 2019/20 to cover potential costs of Brexit	104
Vehicle Fleet - contribution to fund wash off facility funded by earmarked income from the sale of vehicles.	78
Ward Member Budgets - contribution to grass verge and tennis court capital schemes	11
Environmental Projects - grant funding received in March offset existing costs, reserve to be used to fund Highstreets clean up and Parks and Playgrounds.	41
Centre for Excellence in Creative Arts - to fund any loss of trading income in future years	5
<b>TOTAL</b>	<b>982</b>

	<b>Outturn</b>
	<b>£'000</b>
<b>Ring-fenced Grant Reserves</b>	
Children's Safeguarding Board (Partnership Budget)	58
Short Breaks Service - National Children's Bureau Grant	31
Children's Information System - Dept of Health Grant	9
Feel Good in Hartlepool - Sport England Grant	19
<b>TOTAL</b>	<b>117</b>

## REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2018/19 as at 31 March 2019

Approved 2018/2019 Budget	Description of Service Area	Actual Outturn as at 31 March 2019 Adverse/ (Favourable)	Director's Explanation of Variance
£'000		£'000	
<b>Finance and Policy Committee</b>			
(140)	Benefits	(240)	Favourable variance owing to vacant posts, and a further £160k in additional one-off grant from DWP for Housing Benefit and Universal Credit New Burdens and Verify Earnings and Pension Alerts.
(926)	Central Administration Recharges	0	
36	Civic Attendants	3	
53	Communications and Marketing	80	The adverse variance is owing to a reduction in income generation.
969	Corporate Finance	(61)	The favourable variance is owing to vacant posts, posts not being at the top of the grade and some additional income.
657	Corporate Strategy & Public Consultation	(84)	The favourable variance is owing to vacant posts and posts not being at the top of the grade and some supplies and services savings.
(143)	Housing Benefits Subsidy	(210)	The grant generates £33m in subsidy, but the grant is reducing along with the current transfer rate of claimants across to Universal Credit. The favourable variance reflects the final year end claim.
199	Democratic	(20)	The favourable variance is owing to additional income generation.
895	Customer and Support Services	(27)	The favourable variance is owing to posts not being at the top of the grade and additional one-off grant to fund staff support.
424	Human Resources & Health and Safety	(3)	A favourable variance owing to vacant posts and posts not being at the top of the grade, was offset by a reduction in income.
234	Internal Audit	(6)	The favourable variance is owing to savings on supplies and services and additional income generated.
504	Legal Services	52	The adverse variance is owing to a reduction in income generation.
167	Municipal Elections and Registration of Electors	0	
(7)	Other Office Services	11	The adverse variance is owing to a reduction in income generation received from Local Land Searches.
94	Procurement	3	
(113)	Registration Services	27	The adverse variance is owing to a reduction in income generation on both birth and death registration owing to services being transferred to North Tees Hospital.
(45)	Reprographics	(16)	The favourable variance is owing to savings on lease payments.
911	Revenues	26	The adverse variance is owing to a reduction in the Bailiff section income generation, additional hours in the Cashiers section, and additional Credit Card commission charges.
(526)	Revenue & Benefits Central	173	The adverse variance is owing to a reduction in the Cost of Collection grant for Non Domestic Rates and Court Costs awarded, this will be reviewed during 2019/20.
39	Scrutiny	3	
612	Shared Services	(22)	The favourable variance is owing to savings on software maintenance and additional income.
128	Support to Members	(12)	The favourable variance is owing to savings on Civic Head Expenses, Consolidated Civic Fund and Member Training.
10	Training & Equality	2	
408	Corporate Management Running Expenses	(36)	The favourable variance is owing to a post not being at the top of the grade and savings on the Corporate Subscriptions budget.
<b>4,440</b>	<b>Finance and Policy Committee Total</b>	<b>(357)</b>	

## MEMO:-

## Creation of Reserves - Year End

Approved 2018/2019 Budget	Description of Service Area	Actual Outturn as at 31 March 2019 Adverse/ (Favourable)	Director's Explanation of Variance
£'000		£'000	
0	Human Resources & Health and Safety Loss of Income	70	Reserve created to support Human Resources & Health and Safety Loss of Income
0	Human Resources/Apprenticeship Support Fixed Term Contract	24	Reserve created to fund a fixed term contract in relation to administration assistance for HR and Apprenticeship Support..
0	Finance - IT Investment Shared Services	50	Reserve created to fund one-off Systems Development Projects in 2019/20.
0	Digital Development of Firmstep	20	Reserve created to fund the digital development of the Firmstep system.
0	Corporate Training Programme	25	Reserve created to fund the Corporate Training Programme in 2019/20.
0	<b>Chief Executives Total - Creation of Reserves</b>	<b>189</b>	

## PLANNED USE OF RESERVES

The above figures include the 2018/2019 approved budget along with the planned use of Departmental Reserves created in previous years.

The details below provide a breakdown of these reserves

Approved 2018/2019 Budget	Description of Service Area	Actual Usage 2018/2019	Variance Over/ (Under)	Director's Explanation of Variance
£'000		£'000	£'000	
<b>Finance and Policy Committee</b>				
5	Corporate Strategy - Performance Management	5	0	
8	Public Relations	5	(3)	
2	Civic Responsibilities	0	(2)	
40	Municipal Elections and Registration of Electors	41	1	
13	Corporate Training Programme	13	0	
50	Human Resources & Health and Safety Loss of Income	50	0	
24	Human Resources & Health Extension of Fixed Term Contract	24	0	
40	Human Resources & Health and Safety - Resourcelink post.	46	6	
32	Finance - IT Investment Shared Services	15	(17)	Expenditure and reserve funding rephased into 2019/20.
9	Digital Development of Firmstep	9	0	
12	PSN Compliance & Contingency	9	(3)	
20	Corporate Apprenticeship Reserve	20	0	
130	Chief Executive's Department Ring Fenced Grants	93	(37)	Expenditure and reserve funding rephased into 2019/20.
<b>385</b>	<b>Total</b>	<b>330</b>	<b>(55)</b>	

## REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2018/19 as at 31 March 2019

Approved 2018/2019 Budget	Description of Service Area	Actual Outturn Adverse/ (Favourable)	Director's Explanation of Variance
£'000		£'000	
<b>Children's Committee</b>			
15,089	Children & Families	1,921	LAC numbers continued to increase since the budget was set across both in-house and high-cost Residential placements and this accounts for the main reason for the increased overspend.
2,683	Early Intervention Services	(704)	This reflects a combination of 'one-off' savings arising from staff vacancies, incremental drift, in-year grant funding, slippage in commencement of a housing contract and 2019/20 Early Help savings achieved in advance.
3	Play & Care	22	This relates to a shortfall of income against the target budget.
408	Standards, Engagement & Development	2	
734	Strategic Commissioning	(324)	The favourable variance mainly relates to one-off and back-dated grant income received from the CCG.
301	Youth Offending Service	(60)	The favourable variance reflects staff vacancies and incremental drift.
136	Access to Education	(31)	Attendance Team additional one-off income above budget (£25k) and lower spend on feasibility studies than planned (Asset Management £6k)
167	Central Support Services	0	
512	Other School Related Expenditure	(27)	£27k Reduced liability for historic pension costs.
544	Raising Educational Achievement	87	Income shortfall for School Improvement Service of £137k, offset by staff savings for Commissioning Team and reduced expenditure on CETL
246	Special Educational Needs	3	
319	Strategic Management	(76)	Advance savings for 2019/20.
<b>21,142</b>	<b>Children's and Joint Commissioning Services</b>	<b>814</b>	
<b>Public Health Grant</b>			
3,117	Public Health - Commissioning	(108)	The favourable variance mainly relates to an underspend against the smoking cessation prescribing budget.
2,178	Public Health - Substance Misuse	(4)	
1,900	Public Health - Children's	0	
905	Public Health - Statutory & Support Services	67	This mainly relates to the costs of the interim Director and Assistant Director who were employed via an external agency until the end of January 2019.
436	Public Health - Adults	0	
278	Public Health - Physical Activity	0	
(8,764)	Public Health Main Grant	45	Transfer of underspend to ring-fenced Public Health Grant reserve
<b>50</b>	<b>Public Health Grant</b>	<b>0</b>	
<b>21,192</b>	<b>Children's and Joint Commissioning Services Total (inc Public Health Grant)</b>	<b>814</b>	

## MEMO:-

## Creation of Reserves - Previously approved by F&amp;P (Q1, Q2 &amp; Q3)

0	Public Health Grant	45	The Public Health Grant is ringfenced and any underspend will be transferred into a ringfenced reserve in line with the grant conditions.
0	Education - Interim Additional Capacity in the Special Educational Needs (SEND) Team	98	To meet staffing costs for additional capacity required to support SEN delivery
	<b>Children's and Joint Commissioning Services - Creation of Previously Approved Reserves</b>	<b>143</b>	

## Creation of Reserves - Year End

0	Children's Safeguarding Board	58	This is a ring-fenced Partnership Budget across both HBC and Stockton BC; the balance reflects the reserve transferred from SLSCB as well as HSCB to the new arrangements, Hartlepool and Stockton Safeguarding Children Partnership; reserve to support service delivery in future years.
0	Department of Health Funding towards Children's Information System	9	This relates to grant funding received in 2018/19 to be used to pay the annual maintenance costs of the IT system over the next few years.
0	Short Breaks (Independent Support)	31	This relates to grant funding received in 2018/19 to be used to support the service in 2019/20 and 2020/21.
0	Education Psychology	68	Reserve to fund additional Psychologist time required to support schools.
0	Centre for Excellence in Creative Arts	5	Reserve to fund any loss of trading income in future years
0	Income Risk Reserve	30	Reserve to fund potential loss of school buy-back income
0	<b>Children's and Joint Commissioning Services - Creation of Year End Reserves</b>	<b>201</b>	

## PLANNED USE OF RESERVES

The above figures include the 2018/2019 approved budget along with the planned use of Departmental Reserves created in previous years.

The details below provide a breakdown of these reserves

Approved 2018/2019 Budget £'000	Description of Service Area	Actual Outturn Adverse/ (Favourable) £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
<b>Children's Committee</b>				
348	0-19 Service - Public Health Reserve	348	0	Planned use of Public Health Reserve to balance budget in 2018/19
128	5-19 Youth Contract	128	0	Funded from Child & Family Poverty Reserve as agreed by F&P 18/09/17 and 12/03/18
40	Contribution to Holiday Gap Initiatives	40	0	Funded from Child & Family Poverty Reserve as agreed by F&P 12/03/18 and 9/07/18
0	Early Help / 0-19 Service	45	45	Use of Public Health Reserve to support initiatives within the Early Help and 0-19 Service
74	Various Public Health Initiatives	51	(23)	Balance rephased to 2019/20
15	Poverty Proof the School Day	15	0	Funded from Child & Family Poverty Reserve as agreed by F&P 12/03/18
0	Short Breaks (Independent Support)	15	15	Specific reserve created from grant to support the Short Breaks Service
10	Contribution to Hartlepool Foodbank	10	0	Funded from Child & Family Poverty Reserve as agreed by F&P 29/10/18
0	UASC Specific Grant Reserve	10	10	Reserve created in 2017/18 from grant funding to build and develop the ability to care for unaccompanied asylum seeking children and care leavers for whom authorities have responsibility
0	Children's Hub IT Reserve	5	5	Contribution to IT upgrades within the Hub
18	Selective Licensing Scheme	0	(18)	Funding not required in 2018/19 so rephased into 2019/20
9	Data Team	9	0	
88	EYES	88	0	
85	Individual Pupil Support	0	(85)	Use of reserve not required owing to late announcement of additional High Needs funding from Government
25	Education Commission	84	59	Variance funded via transfers from other reserve balances
57	Transforming Tees	87	30	Variance funded via transfers from other reserve balances
897	<b>Children's and Joint Commissioning Services Total (inc Public Health Grant)</b>	<b>935</b>	<b>38</b>	

MEMO:- £'000	Dedicated Schools Grant	Actual Outturn Adverse/ (Favourable) £'000	Director's Explanation of Variance
5,929	Early Years	(57)	Underspending against 3-4 year old entitlement and Disabled Access Funding (DAF). Offset by funding shortfall against 2 year old entitlement (£0.156m)
9,244	High Needs	(125)	Late announcement in Dec 2018 of additional £0.208m government funding enabled an underspend against the block
597	Central Services	(5)	
31,953	Schools	(40)	Underspending against de-delegated services - primarily trade union representation supply cover

## REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2018/19 as at 31 March 2019

Approved 2018/2019 Budget  £'000	Description of Service Area	Actual Outturn Adverse/ (Favourable) £'000	Director's Explanation of Variance
<b>Adult Committee</b>			
0	Carers	(8)	
2,354	Commissioning & Adults General	87	
4	Community Centres	(2)	
7	Community Hubs	(3)	
243	Departmental Running Costs	7	
707	Direct Care & Support Team	(8)	
447	LD & Transition Social Work	34	
861	Libraries	47	The adverse variance reflects a budget pressure in library services linked to proposed closure of branch libraries in 2018/19 that has not been implemented.
2,757	Locality & Safeguarding Teams	17	
741	Mental Health Services	(7)	
501	OT & Disability Equipment	17	
1,694	Packages of Care - Mental Health	165	This relates to a small increase in the number of people with mental health needs requiring 24 hour care and support.
10,924	Packages of Care - Older People	(448)	This reflects a reduction in the number of high cost packages for older people with complex needs. The budget has been realigned as part of the 2019/20 budget setting process to support increasing support costs for adults with learning disabilities.
8,468	Packages of Care - Working Age Adult	31	
0	Substance Misuse - Operational	3	
537	Sport, Leisure and Recreation	132	The adverse variance is the result of a shortfall in income for leisure centres and Carlton Adventure.
1,222	Working Age Adult Day Services	(110)	The favourable variance is due to increased income from room hire and some savings on pay and non-pay budgets which will be used in 2019/20 to support changes to the current service delivery model.
<b>31,467</b>	<b>Adult Committee Total</b>	<b>(46)</b>	

**MEMO:-****Creation of Reserves - Year End**

0	Football Development	25	Contribution to existing reserve to create a 'sinking fund' to comply with Football Foundation Grant Conditions for the facilities at
0	Feel Good in Hartlepool	19	Reserve created from grant funding to support specific sport initiatives.
<b>0</b>	<b>Child &amp; Adults Total - Creation of Reserves</b>	<b>44</b>	

**PLANNED USE OF RESERVES**

The above figures include the 2018/2019 approved budget along with the planned use of Departmental Reserves created in previous years.

The details below provide a breakdown of these reserves

Approved £'000	Description of Service Area	Actual Usage £'000	Variance Over/ £'000	Director's Explanation of Variance
<b>Adult Committee</b>				
50	Public Health Reserve - Sport, Leisure & Recreation Facilities	0	(50)	This contingency reserve has been rephased into 2019/20.
77	Public Health Reserve - GP Referral & EDAN	62	(15)	The balance has been rephased into 2019/20.
81	Public Health Reserve - Wellbeing Fund	47	(34)	The balance has been rephased into 2019/20.
100	Specialist Drug Treatment / Residential Rehabilitation	0	(100)	This contingency reserve was not required in 2018/19 however it has been rephased towards supporting the Substance Misuse budget in 2019/20.
0	Financial Advice & Support Service	110	110	Funding of this service from the Child & Family Poverty Reserve
<b>308</b>	<b>Adult Committee Sub Total</b>	<b>219</b>	<b>(89)</b>	

## REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2018/19 as at 31 March 2019

Approved 2018/2019 Budget	Description of Service Area	Actual Outturn Adverse/ (Favourable)	Director's Explanation of Variance
£'000		£'000	
<b>Finance &amp; Policy Committee</b>			
958	Facilities Management	(80)	Additional income and efficiencies from trading activities and one-off income in relation to a court case.
885	Strategic Management, Admin & Service Development	(170)	The favourable variance relates to an underspend on salary costs mainly as a result of vacant posts across the department.
<b>1,843</b>	<b>Finance &amp; Policy Committee Sub Total</b>	<b>(250)</b>	
<b>Regeneration Committee</b>			
0	Adult Education	0	
20	Archaeology	7	
619	Cultural Services	94	Adverse variance relates to shortfall in income at the Town Hall Theatre and Borough Hall.
353	Economic Regeneration	(70)	Saving of £50,000 in relation to the contribution previously paid to the TVCA, this was taken as a recurring saving from 2019/20 onwards. In addition expenditure on business grants was lower than budgeted.
(8)	Employment & Skills	9	
268	Planning & Development	143	The adverse variance relates to a shortfall in income from planning fees.
(92)	Strategic Asset Management	76	The adverse variance relates to a shortfall in income.
<b>1,160</b>	<b>Regeneration Committee Sub Total</b>	<b>259</b>	



Approved 2018/2019 Budget	Description of Service Area	Actual Outturn Adverse/ (Favourable)	Director's Explanation of Variance
£'000		£'000	
<b>Neighbourhood Committee</b>			
(325)	Building Team Design	250	The adverse variance relates to a shortfall in fee income from capital schemes.
(721)	Car Parking & Enforcement	(27)	One-off income resulting from a £90,000 Business Rates rebate offset a shortfall of £60,000 in relation to car parking income.
(78)	Coast, Countryside & Heritage	57	Income was below budget in relation to cremations and cemeteries.
960	Community Safety & Engagement	(60)	A vacancy in the Victim Support post at the NDC Trust resulted in lower expenditure and additional income was received from the Police and Crime Commissioner (PCC).
(139)	Construction Support Services	0	
89	Construction Team	45	Sickness pressures and vacant posts have resulted in an adverse variance as productive hours have reduced.
362	Engineering Services (incl Coastal Protection and Contaminated Land)	(125)	Variance is owing to savings on borrowing costs as a result of the timing of capital expenditure on the Headland Coast Protection capital scheme. In addition, external fee income is greater than the income target and there have been lower maintenance costs as a result of the Headland capital scheme.
2,868	Environmental Services	0	
24	General Allotments	9	
0	Logistics	0	
(340)	Highways Trading	(5)	
2,654	Highways Maintenance & Transportation	(101)	Mainly relates to lower than budget winter maintenance costs of £65k and additional fee income from external work.
1,360	Passenger Transport	140	Pressures resulting from increased need for SEND provision and out of town transport.
812	Public Protection	0	
115	Road Safety	(23)	Fee income was higher than anticipated.
994	Street Lighting	64	Maintenance costs were higher than anticipated.
2,410	Sustainable Transport	(129)	The favourable variance is based on the negotiated position with Bus Operators which has resulted in the current contract being below the base budget provision.
(37)	Vehicle Fleet	(51)	The favourable variance relates to temporary savings on vehicle borrowing costs as vehicles are kept for longer and the purchase of new vehicles has been delayed where appropriate.
4,928	Waste & Environmental Services	102	Income from recycling was lower than previous years and residual waste disposal costs have increased.
15,936	<b>Neighbourhood Committee Sub Total</b>	146	
18,939	<b>Regeneration &amp; Neighbourhoods Total</b>	155	
<b>MEMO:-</b>			
<b>Creation of Reserves - Year End</b>			
0	Ward Member Budgets	11	Ward member contribution to grass verge and tennis court capital schemes
0	Vehicle Fleet	78	Contribution to fund wash off facility funded by earmarked income from the sale of vehicles.
0	Environmental Projects	41	Grant Funding received in March offset existing costs and the resultant underspend enabled funding to be carried forward for expenditure in relation to High Streets clean up and Parks and Playgrounds
0	<b>Regeneration and Neighbourhoods Total - Creation of Reserves</b>	130	

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

**4.1 Appendix E**

The above figures include the 2018/2019 approved budget along with the planned use of Departmental Reserves created in previous years.  
The details below provide a breakdown of these reserves

Approved 2018/2019 Budget  £'000	Description of Service Area	Actual Usage 2017/2018  £'000	Variance Over/ (Under)  £'000	Director's Explanation of Variance
<b>Regeneration Committee</b>				
0	Archaeology	6	6	Reserve released to offset projected income shortfall.
61	Civic Lottery - Events	61	0	As per the Events Programme approved by F&P on 29th October, 2019
0	Economic Regeneration Schemes/YEI	97	97	Updated position in relation to timing of matched funding.
0	Local Plan	30	30	Reflects residual use of reserve in relation to final costs of the scheme.
30	Museums Acquisition Fund	43	13	Relates to timing of expenditure.
0	National Museum of the Royal Navy Hartlepool	153	153	Reflects agreed contribution to NMRN.
<b>Neighbourhood Committee</b>				
50	Allotments (Public Health Reserve)	50	0	
29	Community Safety Specific Grants	29	0	
17	Environmental Protection (Public Health Reserve)	17	0	
0	Trading Accounts	9	9	Reserve released to partly offset increase in waste management variance.
32	Trading Standards(Public Health Reserve)	27	(5)	Less reserve used as a result of costs being partly offset by grant.
17	Ward Member Budgets (incl Civic Lottery)	23	6	Relates to timing of expenditure
<b>187</b>	<b>Total</b>	<b>495</b>	<b>308</b>	

**HOUSING REVENUE ACCOUNT**  
**REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2018/19 as at 31st MARCH 2019**

**4.1 Appendix F**

Approved 2018/2019 Budget		Actual Outturn Adverse/ (Favourable)	Variance Over/ (Under)	Director's Explanation of Variance
£'000		£'000	£'000	
(1,068)	<b>Income</b> Dwelling Rents	(1,028)	40	The additional rent from properties acquired in year was offset by a higher level of void loss than anticipated, mainly owing to a slow initial take up of the Discretionary Housing Payments scheme, which improved from Q4.
(26)	Non-dwelling Rents - Other Income	(23)	3	
(2)	Charges for services and facilities	(5)	(3)	
<b>(1,096)</b>	<b>Income sub total</b>	<b>(1,056)</b>	<b>40</b>	
	<b>Expenditure</b>			
189	Repairs and maintenance	235	46	Increase in the number of properties let and high void levels
282	Supervision and management	296	14	Reflect the revised recharges of Asset Management staff
13	Rents, rates, taxes and other charges	46	33	Owing to council tax payable on voids and empty properties undergoing renovation works.
35	Increase in provision for bad or doubtful debts	31	(4)	
281	Depreciation of fixed assets (Major Repairs Allowance)	293	12	Reflects the additional houses acquired and timing of capital expenditure
0	Discretionary Housing Payments	2	2	
9	Debt Management costs	10	1	
<b>809</b>	<b>Expenditure sub total</b>	<b>913</b>	<b>104</b>	
<b>(287)</b>	<b>Net cost of services</b>	<b>(143)</b>	<b>144</b>	
340	Interest payable	355	15	Reflects the additional houses acquired and timing of capital expenditure
(24)	HRA investment income	(22)	2	
<b>29</b>	<b>HRA Operating (Surplus) / Deficit for the year</b>	<b>190</b>	<b>161</b>	
	<b>Movement on the HRA Reserve</b>			
(530)	HRA Reserve Opening Balance	(537)	(7)	
29	(Surplus)/Deficit for the year	190	161	
<b>(501)</b>	<b>HRA Reserve Closing Balance</b>	<b>(347)</b>	<b>154</b>	

**CAPITAL MONITORING REPORT PERIOD ENDING 31st MARCH 2019**

Project Code	Scheme Title	BUDGET	EXPENDITURE IN CURRENT YEAR				Type of Financing	2018/19 COMMENTS
		A	B	C	D	E		
		2018/19 Budget £'000	2018/19 Actual as at 31/03/19 £'000	Expenditure Rephased into 2019/20 £'000	(B+C) 2018/19 Total Expenditure £'000	(D-A) 2018/19 Variance from Budget £'000		
Adult & Community Based Services								
7212	Capital Grants to Residential/Nursing Care Homes (iBCF)	501	244	257	501	0	RCCO	Schemes on-going
7234	Chronically Sick and Disabled Persons Adaptations	290	6	284	290	0	MIX	Schemes on-going
8108	Centre for Independent Living (CIL)	231	3	228	231	0	MIX	'Sinking Fund' for works at the CIL
7218	Disabled Facilities Grant	1,436	1,181	255	1,436	0	GRANT	Schemes on-going
8710	Drug & Alcohol Recovery Centre	18	0	18	18	0	GRANT	Scheme on-going
8946	Stepping Stones Grant	91	64	27	91	0	GRANT	Scheme on-going
8088	Community Hub - Central	68	21	47	68	0	RCCO	Scheme on-going
8098	Community Hub - North	12	0	12	12	0	RCCO	Scheme on-going
8103	Swimming Scheme	35	0	35	35	0	RCCO	Amounts set aside for equipment purchase.
8172	Brierton Dance Studio Equipment	4	2	2	4	0	RCCO	
7992	Junior Football Pitches	26	0	26	26	0	RCCO	
8408	Mill House - Equipment Purchase	3	0	3	3	0	RCCO	Used to fund equipment replacement when required.
8689	Brierton Sports Fields	1	0	1	1	0	MIX	
8016	Summerhill Multi User Route	1	0	1	1	0	GRANT	
8409	Sport & Youth Improvements	12	1	11	12	0	MIX	To be used as match funding in future grant bid for work required at Carlton Adventure.
8964	Brierton Sports Hall Techno Gym	2	0	2	2	0	GRANT	Section 106 Funding remaining to be used in future years in accordance with Agreement.
8896	Brierton Tennis Courts	30	0	30	30	0	CAP REC	
8634	Brierton 3G Pitch - Football Foundation	6	0	6	6	0	MIX	
8904	Summerhill Cafe Works	1	0	1	1	0	MIX	
Total Adult & Community Based Services		2,768	1,522	1,246	2,768	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  
CORP Corporate Resources

## CAPITAL MONITORING REPORT PERIOD ENDING 31st MARCH 2019

Project Code	Scheme Title	BUDGET	EXPENDITUR				Type of Financing	2018/19 COMMENTS
		A	B	C	D	E		
		2018/19 Budget £'000	2018/19 Actual as at 31/03/19 £'000	Expenditure Rephased into 2019/20 £'000	(B+C) 2018/19 Total Expenditure £'000	(D-A) 2018/19 Variance from Budget £'000		
Children's and Joint Commissioning Services								
8072 & 8218	Children's Centres General	42	0	42	42	0	MIX	This budget is the residual funding from two projects that were completed in 2010/11. There are no restrictions on this residual funding in the grant terms and conditions. There are no current proposals to spend this funding.
8587	Brougham Primary School - Air Handling Unit Replacement	39	39	0	39	0	GRANT	
8635	Catcote - ASD Provision	0	0	0	0	0	GRANT	
7337	Catcote - Installation of Mobile Classroom	0	1	0	1	1	GRANT	Over spend funded from unallocated.
8906	CETL - Windows	40	33	0	33	(7)	MIX	Under spend transferred to unallocated.
7388	Clavering Primary - Electrical Rewire	40	28	0	28	(12)	GRANT	Under spend transferred to unallocated.
7387	Clavering Primary - KS2 Remodelling and Hall Expansion	204	12	192	204	0	GRANT	Project on hold - work deferred to Summer 2019.
8983	Clavering Primary - Heating and DHW Boiler Plant Renewal	85	75	0	75	(10)	GRANT	Under spend transferred to unallocated.
8984	Clavering Primary - Electrical Rewire	80	59	0	59	(21)	GRANT	Under spend transferred to unallocated.
7384	Devolved Schools Capital	215	76	139	215	0	GRANT	
8221	Little Extras	237	15	222	237	0	GRANT	Budget added in Q4 as new grant received in 2018/19.
7332	Healthy Pupils Capital Fund	22	16	6	22	0	GRANT	Budget added in Q4 as new grant received in 2018/19.
9027	English Martyrs - New Build	1,945	1,945	0	1,945	0	GRANT	
8948	Eldon Grove - Dining Room Extension	7	10	7	17	10	MIX	Over spend funded from unallocated.
7378	Golden Flatts Primary School - Lintel Replacement	7	10	0	10	3	GRANT	Over spend funded from unallocated.
8906	Grange Primary School - Window Replacement	22	16	0	16	(6)	GRANT	Under spend transferred to unallocated.
7335	Hart Primary School - Emergency Wall Repairs	104	2	102	104	0	GRANT	Construction work planned to start in 2019/20.
7396	High Tunstall School - Roofing - Block D	35	6	0	6	(29)	GRANT	Under spend transferred to unallocated.
7392	High Tunstall School - Toilet Refurbishment - Block D	70	86	0	86	16	GRANT	Over spend funded from unallocated. Overspend due to refurbishment scheme subsequently revised to a remodelling scheme.
8716	High Tunstall School - Window Replacement - Block D	140	138	0	138	(2)	GRANT	Under spend transferred to unallocated.
7376	High Tunstall School - Electrical Rewire Block D	26	27	0	27	1	GRANT	Over spend funded from unallocated.
7405	High Tunstall School - Electrical Lighting Block D	35	29	0	29	(6)	GRANT	Under spend transferred to unallocated.
7379	High Tunstall School - Main Boiler and DHW Plant Renewal	35	23	0	23	(12)	GRANT	Under spend transferred to unallocated.
7383	High Tunstall School - Floor Renewal Block D	25	10	0	10	(15)	GRANT	Under spend transferred to unallocated.
7403	High Tunstall School - Drainage Works Block D	7	7	0	7	0	GRANT	
8138	High Tunstall School - Broadband	10	10	0	10	0	GRANT	Broadband equipment funded from BSF.
9028	High Tunstall School - New build	1,529	1,529	0	1,529	0	GRANT	
8907	Lynnfield School - Roof Replacement	133	133	0	133	0	GRANT	
7392	Lynnfield School - Toilet Refurbishment	54	45	0	45	(9)	GRANT	Under spend transferred to unallocated.
7586	Purchase of Computer Equipment - City Learning Centre	4	0	4	4	0	RCCO	
8947	Rift House Primary School - Heating Distribution (1 of 2)	12	0	0	0	(12)	GRANT	Under spend transferred to unallocated.
8891	Rift House Primary School - Classroom Extension	118	0	118	118	0	MIX	Demolition of Annex delayed following Nursery building fire.
8985	Rift House Primary School - Heating Pipework	27	7	20	27	0	GRANT	Project to be completed in 2019/20.
8906	Rift House Childrens Centre - Window Replacement	31	0	28	28	(3)	GRANT	Project on hold.
7177	Rift House - Fire Damage	281	281	0	281	0	GRANT	
8360	Rift House - Language Lab	28	0	28	28	0	RCCO	Project to be carried out in 2019/20.
7349	Rossmere Primary School - SEMH Remodelling	17	17	0	17	0	RCCO	Project approved in year by Capital subgroup funded from Suitability.
8984	Rossmere Primary School - Electrical Rewire (Phase 1/3)	120	108	12	120	0	GRANT	Project to be completed in 2019/20.
8983	Rossmere Primary School - Heating and DHW Boiler Plant Renewal	85	86	0	86	1	GRANT	Over spend funded from unallocated.
8592	Rossmere Primary School - Replace Lintels	10	6	0	6	(4)	GRANT	Under spend transferred to unallocated.
8906	Rossmere Primary School - Window Replacement	36	21	15	36	0	GRANT	
8139	Schools General - BSF - ICT Infrastructure (General)	40	0	40	40	0	GRANT	
9004	Schools General - Contingency	48	0	53	53	5	GRANT	
9004	Schools General - Funding Currently Unallocated	23	0	137	137	114	MIX	Funding transferred from underspend on Condition Schemes.
9004	Schools General - Suitability RCCO Unallocated	796	0	796	796	0	RCCO	
9004	Schools General - Basic Need	1,670	0	1,670	1,670	0	GRANT	
7142	Schools General - Fire Safety Modifications	100	9	91	100	0	GRANT	
7355	CECA - IT Infrastructure and Technology	23	23	0	23	0	GRANT	Funded from CECA grant.
8324	Schools General - BMS Control System	25	26	0	26	1	GRANT	Over spend funded from unallocated.
8788	Schools General - Universal Free School Meals	20	0	20	20	0	GRANT	
7432/7349	Springwell Primary School - Remodelling SEMH	889	889	0	889	0	MIX	Initial budget increased to cover additional SEMH costs and temporary classroom charges.
7229	St Helen's Primary School - Toilet Refurbishment	46	44	0	44	(2)	GRANT	Under spend transferred to unallocated.
7380	Throston School - Roofing Area (Phase 1 of 2)	45	49	0	49	4	GRANT	Over spend funded from unallocated.
7381	Throston School - Window Replacement	25	13	0	13	(12)	GRANT	Under spend transferred to unallocated.
8999	Throston School - Emergency Roof Replacement	32	30	0	30	(2)	GRANT	Under spend transferred to unallocated.
8971	Throston Primary School - Convector Fan Renewal	16	0	16	16	0	GRANT	Work delayed until Easter half-term.
7521	Two year old Free Nursery Entitlement Capacity Building	23	0	23	23	0	GRANT	
7386	West Park - Early Years Extension	83	89	0	89	6	GRANT	Over spend funded from unallocated.

## CAPITAL MONITORING REPORT PERIOD ENDING 31st MARCH 2019

Project Code	Scheme Title	BUDGET	EXPENDITUR				Type of Financing	2018/19 COMMENTS
		A	B	C	D	E		
		2018/19 Budget £'000	2018/19 Actual as at 31/03/19 £'000	Expenditure Rephased into 2019/20 £'000	(B+C) 2018/19 Total Expenditure £'000	(D-A) 2018/19 Variance from Budget £'000		
Children's and Joint Commissioning Services								
8653	West View Primary School - EY Foundation Stage Improvements	10	7	3	10	0	RCCO	Project to be completed in 2019/20.
7407	West View Primary School - Remodelling KS2 Area	88	90	0	90	2	GRANT	Scheme complete.
NEW	Brierton Campus Windows	67	0	67	67	0	RCCO	
7401	Barnard Grove School - School Led Furniture & Equipment	1	1	0	1	0	RCCO	
7399	Clavering Primary - School Led Premises Work	11	11	0	11	0	RCCO	
7399	Fens Primary - School Led Premises Work	3	3	0	3	0	RCCO	
7399	High Tunstall School - School Led Premises Work	96	96	0	96	0	RCCO	
7399	Kingsley - School Led Premises Work	7	7	0	7	0	RCCO	
7401	Kingsley - School Furniture & Equipment	9	9	0	9	0	RCCO	
7401	Springwell Primary School - School Led Furniture & Equipment	11	11	0	11	0	RCCO	
7400	Springwell Primary School - School Led ICT Work	4	4	0	4	0	RCCO	
7399	Springwell Primary School - School Led Premises Work	35	35	0	35	0	RCCO	
7399	St Helen's Primary School - School Led Premises Work	19	19	0	19	0	RCCO	
7401	Throston School - School Led Furniture & Equipment	2	2	0	2	0	RCCO	
9009	Schools General - Schools ICT	148	148	0	148	0	RCCO	
	Total Children's and Joint Commissioning Services	10,372	6,521	3,851	10,372	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  
CORP Corporate Resources

## CAPITAL MONITORING REPORT PERIOD ENDING 31st MARCH 2019

Project Code	Scheme Title	BUDGET	EXPENDITURE IN CURRENT YEAR				Type of Financing	2018/19 COMMENTS
		A	B	C	D	E		
		2018/19 Budget £'000	2018/19 Actual as at 31/03/19 £'000	Expenditure Rephased into 2019/20 £'000	(B+C) 2018/19 Total Expenditure £'000	(D-A) 2018/19 Variance from Budget £'000		
Finance & Policy Committee								
8306	School Catering Equipment	497	28	469	497	0	RCCO	Use of funding depends on whether schools continue with in-house provision of school catering.
Finance & Policy Committee Sub Total		497	28	469	497	0		
Regeneration Committee								
7220	Housing - Private Sector Grants	64	11	53	64	0	GRANT	New grants awarded and income recycled from charges on properties in relation to old loan schemes.
7217	Housing - Raby Road CPO	5	5	0	5	0	GRANT	Contribution from Thirteen Group to fund Compulsory Purchase Order costs.
8799	Housing - Major Repairs	38	38	0	38	0	RCCO	Cost of boiler replacements funded from HRA Major Repairs Reserve
8795	Housing - Empty Home Phase 2	1,272	1,036	236	1,272	0	MIX	The scheme is expected to complete in Quarter 1 of 2019/20 with less borrowing required than assumed in the business case model as a result of successfully attracting a higher level of Homes England grant per unit and successful control of costs. An evaluation of the scheme and positive impact on the HRA will be undertaken in early 2019/20.
7182	Housing - Empty Home Phase 3	2,523	521	2,002	2,523	0	MIX	The rephased budget mainly consists of Section 106 funding to be used as match funding in attracting additional Homes England grant to fund future house purchases and renovation work.
8605	Housing - North Central Hartlepool Housing Regeneration	580	552	28	580	0	CAP REC	Rephased funding consists of grants repayments received in Q4
7530	Developers Contributions (Section 106)	1,495	0	1,495	1,495	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.
8534	CHURCH ST. TWNSCP HERITG PROJ HLF Capital	118	45	73	118	0	MIX	Officers are working with Church Street property owners to agree the scope of works to be funded by grants with expenditure expected to now begin in Q2 of 2019/20.
8956	ISQ - Church Square	1,765	1,765	0	1,765	0	MIX	Scheme complete.
8901	ISQ - Workspace	3,347	3,085	262	3,347	0	MIX	Scheme completed in May 2019.
7043	ISQ Church Street Public Realm	949	949	0	949	0	MIX	Scheme complete.
7048	ISQ Stockton Street Connectivity	1,109	308	801	1,109	0	MIX	Scheme ongoing
7049	Waterfront Redevelopment	1,445	136	1,309	1,445	0	MIX	Contract let February 2019, scheme ongoing
7066	Avondene Accommm, Church St	460	393	67	460	0	MIX	Scheme completed in Q1 of 2019/20
ISQ2	ISQ2 - Church Street Property Intervention	543	446	97	543	0	MIX	Costs to date relate to the purchase of 15 & 16 Church Street and renovation of 15 Church Street following approval by Council as part of the 19/20 MTFS. A separate report will be produced later in 2019 in relation to 16 Church Street and the bid for HLF Conservation Deficit funding.
8429	Adult Education - Replace IT	58	58	0	58	0	GRANT	System upgrade funded from Adult Education Reserves.
Regeneration Committee Sub Total		15,771	9,348	6,423	15,771	0		
7272	Wheelie Bin Purchases	106	95	11	106	0	UDPB	Annual budget for purchase of new and replacement bins.
7466	DSO Vehicle Purchases	3,230	944	2,286	3,230	0	UDPB	Vehicle replacements have been deferred where possible to maximise savings, resulting in a reduction in the current year's procurement programme and rephasing of expenditure until the next financial year.
7878	Community Safety CCTV Upgrade/Relocation	79	33	46	79	0	MIX	Scheme to complete in 2019/20.
CR	Crematorium Chapel refurbishment	404	0	404	404	0	RCCO	Scheme to be revised and business plan will be prepared.
8998	Stranton Cemetery Expansion	9	9	0	9	0	GRANT	Section 106 funding
Allot	Allotments Improvements	225	17	208	225	0	UDPB	A new programme of works was approved by the Neighbourhood Service Committee in June 2018.
LTP	Local Transport Plan (LTP) Schemes	2,653	1,622	1,031	2,653	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	104	27	77	104	0	GRANT	Major works to ensure the safety of parks and playgrounds.
8993	Garage Wash-off Facility	102	2	100	102	0	MIX	Scheme deferred until 2019/20 with additional funding required from vehicle sales expected in the current year.
7243	Seaton Carew Car Parking Pay & Display	4	4	0	4	0	UDPB	Scheme completed
7333	Seaton Additional Car Parking	574	3	571	574	0	UDPB	Scheme to create 350 new parking spaces approved by Council 25th October, 2018
7339	Seaton Park Tennis Courts	4	2	2	4	0	GRANT	Scheme to be completed in 2019/20 with additional funding from the Seaton Trust.
7504	Seaton - Coastal Communities Fund Scheme	384	333	51	384	0	MIX	Scheme is now substantially complete and expected to be within budget.
7900	EA - Hartlepool Marina - North Pier Study	30	0	30	30	0	GRANT	Study funded by Environment Agency looking at erosion, conservation & deterioration
7902	EA - Hartlepool Drainage Schemes	88	52	36	88	0	GRANT	Environment Agency Scheme
	Rift House Community Centre Car Park (Masfield Road)	32	32	0	32	0	RCCO	New car parking spaces as per Decision Record on 10th October 2018 by the Director of R&NS using delegated powers.
8220								
8313	Playground Equipment - MUGA (Multi Use Games Area)	59	59	0	59	0	GRANT	Scheme funded as a result of condition of sale with the Developer.
8958	Elwick Bypass Growing Places	1,453	120	1,333	1,453	0	UDPB	A separate report on the Elwick Bypass Grade Separated Junction was presented to members on 20th December, 2018 detailing progress in relation to this scheme.
TVCA	TVCA Cycleways and Footpath Upgrades	472	217	255	472	0	GRANT	Ongoing schemes fully funded by the Tees Valley Combined Authority (TVCA)

## CAPITAL MONITORING REPORT PERIOD ENDING 31st MARCH 2019

Project Code	Scheme Title	BUDGET	EXPENDITURE IN CURRENT YEAR					Type of Financing	2018/19 COMMENTS
		A	B	C	D	E			
		2018/19 Budget £'000	2018/19 Actual as at 31/03/19 £'000	Expenditure Rephased into 2019/20 £'000	(B+C) 2018/19 Total Expenditure £'000	(D-A) 2018/19 Variance from Budget £'000			
8591	Coast Protection - Headland Town & Block Sands	1,816	1,816	0	1,816	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.	
8444	Coast Protection - Town Wall Strengthening	46	4	42	46	0	GRANT	Scheme complete, however ongoing legal issue in process. When resolved request to Environment Agency to transfer balance to another Environmental Agency scheme of a similar nature.	
8578	Coast Protection - South Management Unit Study	28	1	27	28	0	GRANT	Ongoing study leading to an options appraisal that will be taken to committee, with anticipated completion in 2019/20.	
9026	Eastern Crossing Feasibility	175	59	116	175	0		Tees Valley Combined Authority funded study	
7348	Art Gallery - All Access Counter	11	0	11	11	0	GRANT	Funded by 'Tees Valley Museums'	
7353	Museum - New Education Area	8	0	8	8	0	GRANT	A 'National Portfolio Organisation' scheme funded by 'Tees Valley Museums'	
7222	NIP - Seaton Park	68	68	0	68	0	UDPB	A report providing a full update on all Neighbourhood Investment Programme (NIP) schemes was submitted to Finance and Policy Committee on 22nd July, 2019.	
7246	NIP - Rossmere	550	269	281	550	0	GRANT		
New	NIP - Off Street Parking at Balmoral Road	50	0	50	50	0	MIX		
7340	NIP - Owton Manor Belly Bins	60	58	2	60	0	MIX		
7343	NIP - Memorial Wood	6	6	0	6	0	UDPB		
7344	NIP - Hindpool Close Play Area	40	0	40	40	0	MIX		
7347	NIP - CCTV in Parks	1	1	0	1	0	UDPB		
8288	NIP - Stranton Cemetery Barrier	45	21	24	45	0	UDPB		
8292	NIP - Headland Playground Equipment	162	50	112	162	0	UDPB		
8977	NIP - King Oswy Shops	344	166	178	344	0	UDPB		
8994	NIP - The BIS Paving	105	78	27	105	0	MIX		
8995	NIP - Barrier Works at TESCO Roundabout to Middleton Rd	400	0	400	400	0	UDPB		
8996	NIP - Roundabouts at Key Gateways	210	7	203	210	0	MIX		
8997	NIP - To be Allocated	246	0	246	246	0	MIX		
HIFP	Highways Improvement Schemes Programme (HIFP)	2,610	785	1,825	2,610	0	UDPB		
Neighbourhoods Committee Sub Total		16,993	6,960	10,033	16,993	0		A report providing a current update on individual schemes was submitted to Finance & Policy Committee on 22nd July, 2019. On the basis of the latest forecasts, there are expected to be uncommitted funding of £414,000.	
Regeneration & Neighbourhoods Total		33,261	16,336	16,925	33,261	0			

Key  
RCCO  
MIX  
UCPB  
SCE

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

GRANT Grant Funded  
CAP REC Capital Receipt  
UDPB Unsupported Departmental Prudential Borrowing  
CORP Corporate Resources



## CAPITAL MONITORING REPORT PERIOD ENDING 31st MARCH 2019

Project Code	Scheme Title	BUDGET	EXPENDITURE				Type of Financing	2018/19 COMMENTS
		A	B	C	D	E		
		2018/19 Budget £'000	2018/19 Actual as at 31/03/19 £'000	Expenditure Rephased into 2019/20 £'000	(B+C) 2018/19 Total Expenditure £'000	(D-A) 2018/19 Variance from Budget £'000		
7260	City Challenge Clawback	9	0	9	9	0	RCCO	
7623	Corporate IT Projects	12	0	12	12	0	MIX	
8972	Print Room Printer	14	14	0	14	0	UCPB	
	Point to Point Encryption	20	0	20	20	0	MIX	
	Corporate Projects	89	0	89	89	0	MIX	
<b>Chief Executives Total</b>		<b>144</b>	<b>14</b>	<b>130</b>	<b>144</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 Grant Funded  
CAP REC Capital Receipt  
UDPB Unsupported Departmental Prudential Borrowing  
CORP Corporate Resources

## CAPITAL MONITORING REPORT PERIOD ENDING 31ST MARCH 2019

Project Code	Scheme Title	2018/19 Budget £'000	EXPENDITURE IN CURRENT YEAR				Type of Financing	2018/19 COMMENTS	
			A	B	C	D			E
				2018/19 Actual as at 31/3/19 £'000	Expenditure Rephased into 2019/20 £'000	(B+C) 2018/19 Total Expenditure £'000			(D-A) 2018/19 Variance from Budget £'000
Finance & Policy Committee									
7029	Borough Hall - Upgrade Fire Detection	104	104	0	104	0	RCCO	Scheme Complete.	
7033	Borough Hall - External Masonry/Window Mullions	62	7	55	62	0	RCCO	Scheme ongoing.	
NEW	Borough Hall - Major Refurb Works	126	0	126	126	0	RCCO	Scheme ongoing.	
7035	Town Hall Replace Boilers	33	0	33	33	0	MIX	Scheme ongoing.	
7036	Uncommitted CCF	87	0	87	87	0	MIX	Scheme ongoing.	
7036	Other Council Priorities	17	0	17	17	0	MIX	Scheme ongoing.	
7036	Seaton Remediation Scheme	112	0	112	112	0	GRANT	Scheme ongoing.	
7041	Corporate Planned Maintenance Unallocated	201	0	201	201	0	RCCO	Scheme ongoing.	
NEW	Utilities per SS	104	0	104	104	0	CORP	Scheme ongoing.	
7072	Seaton Library DDA toilet	37	0	37	37	0	UCPB	Scheme on hold.	
7053	BEMS System	152	152	0	152	0	RCCO	Scheme complete. Final Account to be agreed.	
7055	Town Hall - Fire Alarm Upgrade	38	0	38	38	0	MIX	Scheme ongoing.	
7058	Town Hall - Power Cabling Upgrade	28	0	28	28	0	MIX	Scheme ongoing.	
7065	Fire Risk Assessments	100	0	100	100	0	MIX	Scheme ongoing.	
7075	Mill House - Replace Dosing System	104	1	103	104	0	MIX	Scheme ongoing.	
7076	Mill House - Emergency Lighting Improvement	28	26	2	28	0	MIX	Scheme ongoing.	
7178	Mill House - Pool Sand Filter Refurbishment	31	31	0	31	0	CAP REC	Scheme complete. Final Account to be agreed.	
7200	Civic Centre Capital Maintenance Project	75	0	75	75	0	CAP REC	Scheme ongoing.	
7233	Civic Centre - Replace Main Lifts	120	0	120	120	0	MIX	Scheme ongoing.	
7336	Borough Hall - Upgrade Fixtures and Fittings	107	51	56	107	0	RCCO	Scheme ongoing.	
7472	Victory Square Improvement	12	5	7	12	0	CORP	Scheme ongoing.	
7473	Victory Square - Conservation Work	55	0	55	55	0	CAP REC	Scheme ongoing.	
7503	Carnegie - Boiler Replacement	41	27	14	41	0	CAP REC	Scheme ongoing.	
7503	CETL - Boiler replacement	43	40	3	43	0	CAP REC	Scheme ongoing.	
7505	Carnegie - Roof and Internal Works	16	4	12	16	0	RCCO	Scheme ongoing.	
7589	CETL - Replace Heating Controls	18	7	11	18	0	MIX	Scheme ongoing.	
7617	Borough Hall - Lighting and Wiring	40	0	40	40	0	CAP REC	Scheme ongoing.	
7889	Borough Hall - Renew Roof	358	38	320	358	0	RCCO	Scheme ongoing.	
7904	Sir William Gray House-Internal Refurbishment	19	19	0	19	0	CORP	Scheme complete. Final Account agreed	
8055	Brougham (HEC) - Window Replacement	53	53	0	53	0	CORP	Scheme complete. Final Account agreed	
8061	CETL Roof Replacement	58	48	10	58	0	RCCO	Scheme ongoing.	
8068	CETL Replace Fire Alarm	6	6	0	6	0	RCCO	Scheme complete. Final Account agreed	
8386	Tofts Farm Depot - Lighting Upgrade	66	63	3	66	0	MIX	Scheme ongoing.	
8776	Town Hall - Replace Stage Lighting	10	8	2	10	0	CORP	Scheme ongoing.	
8866	Rossmere Youth Centre - Roof Repair and Window Replacement	150	120	30	150	0	CAP REC	Scheme ongoing.	
8867	Borough Hall - Structural Works External Wall	64	4	60	64	0	CORP	Scheme ongoing.	
8893	Town Hall Lighting & Distribution Board Replacement	15	0	15	15	0	CORP	Scheme ongoing.	
8959	Council Chamber Refurbishment	10	0	10	10	0	RCCO	Scheme ongoing.	
8961	Civic Centre - Replace External Doors	1	1	0	1	0	RCCO	Scheme complete.	
8970	Historic Quay Dilapidation Work	436	262	174	436	0	CORP	Scheme ongoing.	
8973	Headland Sports Hall -Boiler Replacement	8	8	0	8	0	RCCO	Scheme complete. Final Account agreed.	

## CAPITAL MONITORING REPORT PERIOD ENDING 31ST MARCH 2019

Project Code	Scheme Title	2018/19 Budget £'000	EXPENDITURE IN CURRENT YEAR				Type of Financing	2018/19 COMMENTS	
			A	B	C	D			E
				2018/19 Actual as at 31/3/19 £'000	Expenditure Rephased into 2019/20 £'000	(B+C) 2018/19 Total Expenditure £'000			(D-A) 2018/19 Variance from Budget £'000
Finance & Policy Committee									
9007	Indoor Bowls Club Roof Replacement	190	0	190	190	0	CORP	Scheme on hold.	
9029	Tofts Farm - Security Upgrade	64	0	64	64	0	RCCO	Scheme ongoing.	
9030	Tofts Farm - Fire Alarm Upgrade	55	22	33	55	0	RCCO	Scheme ongoing.	
9024	Asbestos Surveys	2	2	0	2	0	RCCO	Asbestos surveys now compete. Return underspend to CPM unallocated.	
NEW	Aneurin Bevan House - Boiler Plant	77	0	77	77	0	CAP REC	Works to commence 2019/20	
NEW	Aneurin Bevan House - Lighting Upgrade	22	0	22	22	0	CAP REC	Works to commence 2019/20	
NEW	Owton Manor Community Centre - Flat Coverings and Insulation	214	0	214	214	0	MIX	Works to commence 2019/20	
NEW	Mill House - Toilet Upgrade	40	0	40	40	0	CAP REC	Works to commence 2019/20	
NEW	Mill House - Upgrade Handrails	13	0	13	13	0	RCCO	Works to commence 2019/20	
NEW	Mill House - Upgrade Main Access for Accessibility Compliance	39	0	39	39	0	UCPB	Works to commence 2019/20	
NEW	Exmoor Grove - Distribution Board	11	0	11	11	0	CAP REC	Works to commence 2019/20	
NEW	Seaton Carew Library - Fire Alarms	9	0	9	9	0	CAP REC	Works to commence 2019/20	
7352	Microsoft Office - Intangible Asset	625	625	0	625	0	UCPB	Buy out of licences as per Decision Record dated 03.09.2018 using delegated powers.	
-	Regeneration Match Funding	393	0	393	393	0	UCPB	Rephased to 2019/20	
Corporate Total		4,899	1,734	3,165	4,899	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

## SECTION 106 DEVELOPERS CONTRIBUTIONS as at 31st March 2019

## 4.1 Appendix L

	Affordable Housing Contributions *****	Cycleway	Bus Stop	Green Infrastructure	Maintenance	Play	Off Site Recreational **	Public Art	Security Monitoring	Sports	Ecological Mitigation *****	Traffic Calming	Education	Restoration - Security Bond ***	Interest	Other Service Areas Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
<b>Balance Remaining (A+B-C) 1st April, 2018 *</b>	<b>538</b>	<b>10</b>	<b>15</b>	<b>97</b>	<b>35</b>	<b>98</b>	<b>61</b>	<b>5</b>	<b>10</b>	<b>78</b>	<b>66</b>	<b>15</b>	<b>65</b>	<b>100</b>	<b>0</b>	<b>655</b>
<b><u>Amounts Received in Year 18/19 (B)</u></b>																
Gardner House - Karbon Homes	0	0	0	6	0	5	0	0	0	12	0	0	0	0	0	23
Jesmond Gardens - Lidl	306	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Teesbay	0	80	0	0	0	0	0	0	0	0	0	0	0	0	0	80
Quarry Farm - Bellway	250	0	0	0	0	0	0	0	0	0	0	0	46	0	0	46
Manorside Phase 1 - Wynyard	65	0	0	4	0	4	0	0	0	0	0	0	20	0	0	28
Manorside Phase 2 - Wynyard	58	0	0	0	0	3	0	0	0	7	0	0	32	0	0	42
Tanfield - Gleeson	85	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
North Pentagon - Taylor Wimpey	740	0	0	44	0	0	0	0	0	0	0	0	0	0	0	44
Caroline Street - Endeavour Housing	0	0	0	0	0	0	0	0	0	0	5	0	0	0	0	5
Tunstall Farm	292	0	0	0	0	0	0	0	0	9	0	0	64	0	0	73
Quarry Farm	250	0	0	0	0	0	0	0	0	0	0	0	46	0	0	46
Manorside House Phase 2 - Wynyard	0	0	0	3	0	0	0	0	0	0	0	0	0	0	2	5
	<b>2,046</b>	<b>80</b>	<b>0</b>	<b>57</b>	<b>0</b>	<b>12</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>28</b>	<b>5</b>	<b>0</b>	<b>208</b>	<b>0</b>	<b>2</b>	<b>392</b>
<b><u>Expenditure Incurred in 2018/19 (C)</u></b>																
Empty Homes & Social Housing Phase 2	510	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Empty Homes & Social Housing Phase 3	299	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Street Lighting CCTV scheme	0	0	0	0	0	0	0	0	10	0	0	0	0	0	0	10
ISQ Property Purchase and Renovation	109	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Ward Jackson Park	0	0	0	0	0	5	0	0	0	0	0	0	0	0	0	5
King Oswy Playground	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	1
Grayfields	0	0	0	0	0	5	0	0	0	0	0	0	0	0	0	5
Stranton Cemetery Extensn	0	0	0	9	0	0	0	0	0	0	0	0	0	0	0	9
Brierton PRU Works	0	0	0	0	0	0	0	0	0	0	0	0	19	0	0	19
Allotments	0	0	0	2	0	0	0	0	0	0	0	0	0	0	0	2
<b>Total Expenditure</b>	<b>918</b>	<b>0</b>	<b>0</b>	<b>11</b>	<b>0</b>	<b>11</b>	<b>0</b>	<b>0</b>	<b>10</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>19</b>	<b>0</b>	<b>0</b>	<b>51</b>
<b>Balance Remaining (A+B-C) 31st March, 2019 *</b>	<b>1,666</b>	<b>90</b>	<b>15</b>	<b>143</b>	<b>35</b>	<b>99</b>	<b>61</b>	<b>5</b>	<b>0</b>	<b>106</b>	<b>71</b>	<b>15</b>	<b>254</b>	<b>100</b>	<b>2</b>	<b>996</b>

\*Balances relate to amounts received and earmarked for purposes specified in developer agreements, but not yet transferred to a budget/scheme. However further expenditure is in the process of being planned and committed.

\*\* 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.

\*\*\*\* All affordable housing contributions are earmarked for additional HRA houses. A report with proposals for using this funding will be brought to F&P Committee later in the year.

\*\*\*\*\* This includes £27k for 'Dog Control orders' however if the measures are not needed then the funds are repayable.

# FINANCE AND POLICY COMMITTEE

27<sup>th</sup> August 2019



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

**Subject:** NAVIGATION POINT CAR PARK

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## 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Key test (i) applies. General Exception applies.

## 2. PURPOSE OF REPORT

2.1 To seek approval to enter into negotiations to purchase Navigation Point Car Park, Hartlepool Marina.

## 3. BACKGROUND

3.1 The Council has been approached by business owners located at Navigation Point asking the Council to consider the purchase of the Navigation Point Car Park. Business owners are concerned that current parking charges are detrimental to businesses.

3.2 Navigation Point features restaurants, bistros and bars, where people can relax and unwind while watching the boats and yachts located in the adjacent Marina. During the day and into the early evening, many people take advantage of the great food offer, while at night the area becomes a hive of activity around the numerous bars.

3.3 Navigation Point is also directly opposite the Council's proposed Waterfront development, and collectively they will provide substantial benefit to one another once this project is completed, further improving the offer to both residents and visitors.

3.4 There are 26 business properties located at Navigation Point, 23 of which are occupied and all are currently being supported by the Council as all are in receipt of either Small Business Rates Relief or Business Rates Retail Discount, the three empty properties do not qualify for any support. The total

value of assistance from the Council received by business at Navigation Point is approximately £88,000.

- 3.5 Navigation Point Car Park, Hartlepool Marina is currently owned by Mandale Group. The car park is advertised for sale freehold.
- 3.6 The car park consists of 340 pay and display spaces plus a Barclays Cash Machine. The sale of the car park includes the car parking machines. The car park provides car parking for a number of apartments and businesses on Navigation Points, Boat owners using the marina and visitors to the marina and local businesses which are primarily bars, cafes and restaurants.
- 3.7 A number of companies, apartments and boat owners have free permits in perpetuity. There are therefore 163 unencumbered spaces.
- 3.8 There is an existing service charge the apportionment to a subsequent landlord is 26.61% this currently amounts to £5,457 and covers electricity, cleaning and repair.
- 3.9 The car park currently applies charges 24 hours a day 7 days a week with car parking tariffs of:

Under 30 min	Free
From 30 min – 2hrs	£1.50
Between 2hrs – 3hrs	£2.50
Between 3hrs – 4hrs	£3.00
Between 4hrs – 5hrs	£3.50
24hrs	£6.00

#### 4. PROPOSALS

- 4.1 The proposal is to enter into negotiations to purchase and operate the Navigation Point car park, to introduce commuter parking bays and to implement restricted parking areas on Middleton Road. Further details of the proposal are set out in **CONFIDENTIAL APPENDIX 1 This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely, (para 3), information relating to the financial or business affairs of any particular person (including the authority holding that information.**
- 4.2 The car parking charges currently in place on this site are well above those charged by the Council in its car parks and take effect 24/7. It is proposed that the car parking charges are set at a similar level to those at Seaton Carew but take effect all year round. It is felt that this would encourage more people to use the car park and support local businesses in the area.
- 4.3 The Commuter Parking Bays will be introduced to support this proposal as the car park will provide the turnaround for visitors to Navigation Point, while

the commuter bays will provide parking for employees working in the local businesses. This will formalise some of the parking arrangements that currently exist, while the introduction of the restricted parking zones will help to address some of the road safety concerns on Middleton Road.

- 4.4 Enforcement of the car park, commuter parking bays and restricted parking areas would be carried out by our civil enforcement officers and would be at no additional cost as it would be self-funding from fines.
- 4.5 The car park would require works to bring it up to the required standards and over time significant maintenance will be required these works are detailed in **CONFIDENTIAL APPENDIX 1 This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely, (para 3), information relating to the financial or business affairs of any particular person (including the authority holding that information.**

## 5. FINANCIAL CONSIDERATIONS & RISK IMPLICATIONS

- 5.1 Businesses on Navigation Point regularly change and consist of pubs, cafes and restaurants income on this site may vary depending upon weather and the number of businesses operating since this will affect occupancy levels. There is also a lease to a bank in relation to a cash machine. The life of this lease may be limited resulting in a reduction of income from the site.
- 5.2 The valuation of the car park has been assessed on the basis of the forecast income achievable from implementing a revised charging strategy in line with the car parks at Seaton Carew but covering 365 days per year with charges applying 10 hours per day. This would involve charges of:
- Up to 2 hours - £1.00
  - 2 to 4 hours - £1.50
  - All day - £2.00
- 5.3 The commuter parking bays would be offered at £225 per year, which is reflective of the charges offered for this type of permit elsewhere across the Borough.
- 5.4 Details of the financial information are set out in **CONFIDENTIAL APPENDIX 1 This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely, (para 3), information relating to the financial or business affairs of any particular person (including the authority holding that information.**

**6. LEGAL CONSIDERATIONS**

- 6.1 Traffic regulation orders will be required to cover this car park, the proposed commuter bays and the restricted parking zones.

**7. EQUALITY AND DIVERSITY CONSIDERATIONS**

- 7.1 Disabled parking bays will be included within the car park.

**8. ASSET MANAGEMENT CONSIDERATIONS**

- 8.1 The Car Park will be added to the Councils Asset Register and will be included as part of the existing scheduled inspection programme and maintained in order to ensure compliance with any statutory or legal obligations required of the Council.

**9. OTHER CONSIDERATIONS**

Consultation	No Relevant Issues
Child and Family Poverty	No Relevant Issues
Section 17 of the Crime and Disorder Act 1998 Considerations	No Relevant Issues
Staff Considerations	No Relevant Issues

**10. CONCLUSION**

- 10.1 The Marina area continues to be an important asset for the Borough and its continued economic viability is a key issue for the Council and will help underpin the planned developments on the Waterfront site. Businesses have expressed concerns that recent increases in car parking charges levied by the current car parking operator are having a negative impact. The Council has taken action to ensure eligible businesses across the town, including on the Marina, receive support under the Government's Small Business Rates Relief scheme, which compensates councils for support provided.
- 10.2 This report sets out a proposal to provide further support to the Marina business by seeking to purchase the existing car park and to then implement lower car parking charges. This proposal is based on a self-funded business case where income generated from revised car parking charges would repay the borrowing cost of buying the car park over a 25 year period. The viability of the business case, at a reduced level of car parking charges, is clearly dependent upon agreeing a purchase price which is affordable with the available forecast income and an achievement of forecast car parking income. The proposals detailed in the report are anticipated to be deliverable.



- 10.3 If the Council is successful in securing the purchase of the car parks at an affordable price the Council will then become responsible for future maintenance of the car parks and these requirements will need to be prioritised over a number of years and funded from a combination of the income generated and the annual LTP funding allocations.
- 10.4 In the current financial climate, where the Council is facing a budget deficit over the next two years of between £5.7m and £7.4m owing to the continued impact of Government grant cuts and unfunded budget pressures, it is essential that this type of proposal is self-funded and does not place an additional financial burden on the budget or Council Tax payers.

## 11. RECOMMENDATIONS

- 11.1 That the Finance & Policy Committee authorise the Director of Regeneration & Neighbourhoods to enter into negotiations with Mandale Group to purchase the Navigation Point Car Park further are set out in **CONFIDENTIAL APPENDIX 1 This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely, (para 3), information relating to the financial or business affairs of any particular person (including the authority holding that information.**
- 11.2 That if the purchase of the car park is completed, Finance & Policy Committee approve the implementation the proposed commuter bays and restricted parking zones at Middleton Road.
- 11.3 Members note that on completion of successful negotiations Full Council will be advised in an open report of the value paid to purchase the asset.
- 11.4 It is recommended that Members:
- Note that on the basis that this is a self-funded business case a delegated decision made by the Chief Executive in consultation with the Director of Regeneration and Neighbourhoods, the Director of Finance & Policy, the Chief Solicitor and the Chair of Finance and Policy Committee upon successful completion of negotiations.
  - Approve that to support the business case charges will be set in line with Seaton Carew Car Park of -
    - Up to 2 hours - £1.00
    - 2 to 4 hours - £1.50
    - All day - £2.00
  - Approve the implementation of charges for commuter parking bays and restricted parking areas on Middleton Road upon successful completion of negotiations.
  - Approve the prioritisation of capital works against LTP funding.
  - Approve the creation of a sinking fund from any surplus generated by the scheme to mitigate the use of LTP funding for the capital works.

**12. REASONS FOR RECOMMENDATIONS**

- 12.1 Purchasing this car park will support the regeneration of Navigation Point, support business growth and compliment the proposed development at the Waterfront currently being undertaken by the Council.

**13. BACKGROUND PAPERS**

- 13.1 None.

**14. CONTACT OFFICER**

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# FINANCE AND POLICY COMMITTEE

27<sup>th</sup> August 2019



**Report of:** Director, Children and Joint Commissioning Services  
and Director of Public Health

**Subject:** RESHAPING DRUG AND ALCOHOL TREATMENT  
SERVICES

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## 1. TYPE OF DECISION/APPLICABLE CATEGORY

- 1.1 For decision relates to Key Decision (test (i) & (ii) apply) Forward Plan  
Reference No. CJCS082/18

## 2. PURPOSE OF REPORT

- 2.1 To seek agreement from Finance and Policy Committee to approve the  
model for the future delivery of Drug and Alcohol Treatment Services and  
agree the procurement process for a new integrated model commencing  
from 01 June 2020.

## 3. BACKGROUND

- 3.1 Drug and alcohol dependency in Hartlepool causes significant harm to both  
individuals and communities. Investment in prevention, treatment and  
recovery interventions helps to reduce this burden. For example, drug and  
alcohol users accessing substance misuse treatment services are less likely  
to be prone to illness and diseases and commit fewer crimes. Furthermore,  
treatment does not only improve the lives of those in receipt of services, but  
also that of their families and the communities in which they live.
- 3.2 Currently, Hartlepool has the highest death rates from drug misuse and  
alcohol related liver disease in the North East region. Nationally these rates  
are the 2<sup>nd</sup> and 3<sup>rd</sup> highest in England respectively. Substance misuse is  
also a major factor in the rising demand for children's social care services  
with high numbers of children becoming subject to child protection plans or  
looked after as a consequence of parental substance misuse.

- 3.3 A report was presented to Finance and Policy Committee on 11 March 2019 outlining an option appraisal for the future delivery arrangements for the drug and alcohol treatment service. This meeting considered the following options:

Option 1: Current service model – In-house provision of psychosocial support and commissioned provision for clinical prescribing element with pharmacy contracts for needle exchange.

Option 2: Bring all services in house – including clinical elements, under Council-employed head of drug and alcohol service.

Option 3: Contract out all services – engage external providers with view to entering into a contract with one experienced provider to provide the entire service.

Option 4: Enhanced current service (variant on option 1) – retain and strengthen in-house element (under experienced leadership) to receive all new referrals and provide immediate social and psychological support, and engage with external providers to provide the clinical element (prescribing, sexual health, blood-borne virus screening, wound care, primary care).

- 3.4 The meeting considered the options and upon officer recommendation, decided *‘that the recommendation to support option 4 as the preferred option for service delivery be supported as it provided the most effective and integrated model for the delivery of substance misuse treatment and support services.’*

- 3.5 A further report was presented to Finance and Policy Committee on 22 July 2019 outlining an alternative recommendation for the future delivery arrangements for the drug and alcohol treatment service as follows:

- It was proposed that the Council moves to a model where the whole service is commissioned. This option provides the opportunity to deliver an evidence based whole treatment system around a key worker model that provides integrated prescribing, enhanced physical health care and psycho-social interventions under one leadership structure.

- 3.6 Members debated this option and requested that Officers review and assess the viability of parallel options to put to members at a future Finance and Policy Committee meeting. Members also requested a briefing on the issues relating to the recent clinical audit and this took place on 7 August. 2019.

## 4 PROPOSALS

- 4.1 Council officers have been further developing the service specification and, at the same time, engaged a public health consultant with specialist knowledge in the design, development and delivery of substance misuse services. Through the development of the new specification, reviewing the

current arrangements and considering examples of nationally recognised best practice, the need for a seamless model of service delivery that fully integrates the prescribing and psycho / social service delivery elements has been identified as the best way forward.

4.2 There is a need to address the critical challenge in relation to how the service has been commissioned in the past i.e. with two providers and the need to strengthen the integration of the offer. It is therefore proposed that two options are considered and an alternative approach is taken to the commissioning of the drug and alcohol treatment service based on the following identified priorities:

- The need to bring the two currently separate services together under a single commissioning arrangements or an arrangement which maintains council management of the psycho/social provision whilst creating and developing systems to ensure that care is delivered holistically, which will integrate and improve arrangements;
- The need to strengthen preventative services and work in neighborhoods with service users, carers and families;
- Provision of a single co-located clinical service based in new premises and a one stop shop model augmented by a separate recovery hub;
- Strengthened clinical leadership and management across the whole system with one identified clinical leadership structure.

4.3 In order to deliver on these priorities, it is proposed that the Council moves to a model where either the whole service is commissioned or the current Council run service is integrated into a new delivery model. These options provide the opportunity to deliver an evidence based whole treatment system around a key worker model that provides integrated prescribing, enhanced physical health care and psycho-social interventions under one leadership structure.

4.4 Alongside this, the Council's Children's and Joint Commissioning Services proposes to pilot a new integrated model which aims to reduce demand within children's services. This model will pilot a new way of working that addresses the vulnerabilities within families using a multi-disciplinary whole family and system approach. It is proposed that a new pilot team is established working in an area of the town where the residents have the highest reliance on services and brings together an integrated team of both children's and specialist adult workers. As part of this team, adult substance misuse workers will be seconded into children's services to deliver timely and focused interventions to address adult issues whilst safeguarding and promoting the welfare of the children and strengthening communities.

4.5 Whilst the commissioning process is being implemented, it is further proposed that the leadership and management of the service is strengthened to bring renewed rigour and oversight to the current arrangements. In order to achieve this, additional leadership capacity will be deployed to manage the delivery of drug and alcohol treatment services and provide better join up between the treatment and psycho-social elements.

## 4.6 The options are summarised below:

**Option A**

Retain the in-house model with a full service restructure and re-modelling and approach the market to identify a commissioned partner to design and build a new clinically integrated model that recognises our treatment needs in Hartlepool. We propose to procure on a co-design and deliver basis; It is proposed this new approach has a strong focus on primary care and prevention that recognises the local health needs of the population and the need for integration and joint working with local NHS providers – (primary and secondary care). Fundamental to this model is the requirement to appoint a senior clinician/system leader over both services.

Benefits	Risks
<ul style="list-style-type: none"> <li>• Creates a fully integrated clinical service through commissioning the prescribing and health care element from a local provider with a strong primary care focus and integrating the psycho-social service into a management and governance structure via a 'design and build' model.</li> <li>• Provides consistency for the service users and some stability for the staff.</li> <li>• Enables the Council to co-produce a model that is responsive to local need and organic in terms of changing circumstances.</li> <li>• The link with other Council services, such as social care and community development will be retained and potentially strengthened with primary care.</li> <li>• The integrated service will be registered with the Care Quality Commission (CQC) and be subject to its regulatory and inspection framework. The model will require strong clinical leadership that permeates the entire service structure.</li> </ul>	<ul style="list-style-type: none"> <li>• Potential lack of a provider with sufficient specialist knowledge and the flexibility to work in the agile manner that the current model has failed to do.</li> <li>• The integrated service will be registered with the Care Quality Commission (CQC) and be subject to its regulatory and inspection framework and clinical risk will sit with both the council and the NHS provider.</li> </ul>

**Option B**

Procure and commission a single provider to provide the whole service via a tendering process.

Benefits	Risks
<ul style="list-style-type: none"> <li>• Procures a fully integrated prescribing, health care and psycho social model with a provider with a proven track record of delivering specialist substance misuse services.</li> <li>• Specification will stipulate the need for a clinical leadership structure and a clinical service with a strong emphasis on providing primary care orientated healthcare such as wound care and support with other substance misuse related conditions.</li> <li>• The commissioned service would have its organisational integrated governance structures in place and the specification could include a specific primary care 'shared care' arrangement with local GP's. The integrated service will be registered with the Care Quality Commission (CQC) and be subject to its regulatory and inspection framework and all clinical risk will be carried by the provider.</li> </ul>	<ul style="list-style-type: none"> <li>• Possibility that the new provider could fail to deliver required service transformation</li> <li>• Influence and ability to shape service will be through a commissioning relationship rather than direct provision approach</li> <li>• May be a longer process to deliver required service transformation</li> </ul>

**5. RISK IMPLICATIONS**

- 5.1 Failure to secure the provision of an effective substance misuse prevention, treatment and support service will increase the financial and social impact of these issues on the people and communities of Hartlepool.
- 5.2 The level of drug related deaths and substance related hospital admissions are likely to increase.
- 5.3 If the Council is not clear about the service specification and requirements of the delivery model, there is a risk that services will be ineffective in tackling this issue, potential providers will not be interested in delivering this service thus creating a reputational risk for the Council.

## **6. FINANCIAL CONSIDERATIONS**

- 6.1 There are no changes to the financial arrangements and the new delivery model will need to be within the current budget allocation from the Public Health grant.
- 6.2 The table at confidential **Appendix 1** outlines the current budget and cost projections for the service and 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 financial or business affairs of any particular person (including the authority holding that information).

## **7. LEGAL CONSIDERATIONS**

- 7.1 The commissioning of a new integrated service (Option B) will require adherence to the Council's procurement Contract Procedure Rules and TUPE may apply.

## **8. CONSULTATION**

- 8.1 In developing the needs analysis and service specification, consultation has been undertaken with key informants including, people who use the service, people who refer in to the service, and people whose work overlaps with the service (especially schools, criminal justice system and local NHS).

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

- 9.1 Reduction or cessation of service provision for those with needs arising from substance misuse is likely to have a detrimental impact on child and family poverty.

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

- 10.1 Commissioning and/or delivery of a new service to an updated specification will enhance service provision with no adverse effect on any of the protected groups.

## **11. STAFF CONSIDERATIONS**

- 11.1 If Proposal A is adopted then TUPE Regulations would not apply; however there would be significant restructuring and reallocation of human resources. If Proposal B is adopted TUPE Regulations would need to be applied as the



commissioning process is progressed. There are currently 22 members of staff within the in house service (21 full time equivalent) to whom TUPE may apply. If proposal B contained within this report is approved by Finance and Policy Committee the staffing implications will be discussed in full with staff and trade unions.

## **12. ASSET MANAGEMENT CONSIDERATIONS**

- 12.1 The asset requirements for delivery of the new service delivery model are included within the service specification for any commissioned provision. There will be a requirement that accommodation for the new delivery model is provided as part of any successful bid which will enable the services to move out of the current premises in Whitby Street.
- 12.2 The premises at Gladstone House will be developed to offer a recovery hub.

## **13. RECOMMENDATIONS**

- 13.1 Finance and Policy Committee is asked to agree the preferred Option A in section 4.6, as it provides the best opportunity for service transformation and integration with wider primary and secondary care.
- 13.2 Finance and Policy Committee to note the proposal to strengthen the leadership arrangements during the interim period.

## **14. REASONS FOR RECOMMENDATIONS**

- 14.1 The proposal to is to agree a single integrated service model which is the most effective approach for the delivery of services that will achieve the ambition of the Council to move resources towards prevention and achieving an evidence based whole treatment model of delivery under one clinical leadership structure strengthening the prevention offer particularly with young people.

## **15. BACKGROUND PAPERS**

Finance and Policy Committee 11 March 2019 'Reshaping Drug and Alcohol treatment Services'

Finance and Policy Committee 22 July 2019 'Reshaping Drug and Alcohol treatment Services'

## 16. CONTACT OFFICERS

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01429 523910

Sign Off:-

Chief Executive	<input checked="" type="checkbox"/>
Director of Finance and Policy	<input checked="" type="checkbox"/>
Chief Solicitor	<input checked="" type="checkbox"/>

# FINANCE AND POLICY COMMITTEE

27<sup>th</sup> August 2019



**Report of:** Director, Children and Joint Commissioning Services

**Subject:** REVISIONS TO DISCRETIONARY HOUSING  
PAYMENTS ADMINISTRATION FRAMEWORK

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## 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Non-key decision.

## 2. PURPOSE OF REPORT

2.1 To seek approval from Members for a fully revised Discretionary Housing Payment (DHP) Administration Framework for 2019/20 attached at **Appendix 1**.

2.2 Subject to Members approval, for the new Administration Framework to be used with immediate effect.

## 3. BACKGROUND

3.1 The local authority has received a DHP grant each year since 2004. This fund was managed by the Revenues and Benefits department until 2014/15 when it was transferred to First Contact and Support Hub (now The Children's Hub) as part of the wider welfare support offer.

3.2 Since 2012 this grant had increased year on year specifically to support those adversely affected by welfare reforms. In 2018/19 £490,632 was available however the 2019/20 funding allocation has reduced to £360,723 (26.5% reduction). In 2018/19 99.6% of the fund was allocated.

3.2 DHPs are made to eligible tenants who are in receipt of Housing Benefit or housing element of Universal Credit.

3.3 Currently there is an approved DHP Administration Framework in place that officers use to inform their decision making.

- 3.3 The local DHP framework is informed by the 'Discretionary Housing Payment Guidelines' issued by the Department for Work and Pensions each year. Members last approved an update to the framework in October 2018.
- 3.4 The revisions to the framework have been made following a review of the previous information we shared with the public. The new framework has been developed to ensure that the public are clear about the purpose of the fund. Advice has been gathered from legal to ensure that we are complying with the national framework.
- 3.5 The fundamental principles of DHP including eligibility criteria are unchanged.

#### **4. PROPOSED CHANGES**

- 4.1 The key principles in the administration of DHP remain unchanged. However the current framework was cumbersome and was not written with the applicant in mind. The new 'administration framework' is designed to make clear –
- What is a DHP
  - Who can apply/ eligibility criteria
  - What a DHP can and cannot be used for
  - How to apply
- 4.2 The new 'administration framework' is to be used by officers in conjunction with the national DHP guidance that is updated by government as and when required. This framework will assist officers to reject ineligible applications and progress those that need further consideration in a fair and transparent manner.

#### **5. RISK IMPLICATIONS**

- 5.1 To date the DHP fund has year on year allowed awards to be made over the full financial year period. The fund has never 'ran out' and has been carefully managed to help as many people as possible.
- 5.2 The 26.5% reduction in the 2019/ 20 fund may mean that there is not enough DHP fund available to cover the number of claims received.
- 5.3 Awards are all treated fairly and on their own merit. The significant grant reduction will increase the risk that there may be insufficient funding to meet all applicants, particularly towards the end of the financial year. Officers will continue to manage the position carefully. In the event that it is anticipated grant funding will be insufficient this will be reported within the overall quarterly financial reports submitted to Finance and Policy Committee to enable corrective action to be taken.

## **6. FINANCIAL CONSIDERATIONS**

- 6.1 The current DHP operational method has since 2004 ensured that the fund has been open and available throughout the financial year and fully spent.
- 6.2 The 26.5% reduction in the 2019/ 20 fund could see the fund being fully committed part way through the financial year leaving some claimants without an opportunity to request a DHP.

## **7. LEGAL CONSIDERATIONS**

- 7.1 The DHP Guidance Manual, March 2018 is available to view at [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/692240/discretionary-housing-payments-guide.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/692240/discretionary-housing-payments-guide.pdf).
- 7.2 In the guidance document local authorities are tasked with ensuring DHP is administered fairly and consistently. The guidance document is clear that *“If the purpose of the DHP is to meet an on-going rental liability, it is entirely up to you how much you decide to meet.”*

## **8. CHILD AND FAMILY POVERTY**

- 8.1 DHP is an important part of the council’s poverty strategy, ensuring residents are supported where they are eligible and where the fund allows us to do so.

## **9. EQUALITY AND DIVERSITY CONSIDERATIONS**

- 9.1 All applications are treated fairly and are based on their own merits.

## **10. STAFF CONSIDERATIONS**

- 10.1 There are no staff considerations.

## **11. ASSET MANAGEMENT CONSIDERATIONS**

- 11.1 There are no asset management considerations.

## **12. RECOMMENDATIONS**

- 12.1 Members are asked to approve The Discretionary Housing Payment Administration Framework 2019/20.

### 13. REASONS FOR RECOMMENDATIONS

- 13.1 It is important that the way in which the council administers DHPs is clear to applicants. Making this clear within the administration framework will ensure that the council is operating a transparent DHP process. Legal advice has been taken into account in the revised framework.

### 14. BACKGROUND PAPERS

- 14.1 The latest DHP framework was approved on the 29<sup>th</sup> October 2018 and can be found here:  
[https://www.hartlepool.gov.uk/meetings/meeting/3784/finance\\_and\\_policy\\_committee](https://www.hartlepool.gov.uk/meetings/meeting/3784/finance_and_policy_committee)

### 15. CONTACT OFFICERS

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Sign Off:-

Chief Executive	<input checked="" type="checkbox"/>
Director of Policy and Finance	<input checked="" type="checkbox"/>
Chief Solicitor	<input checked="" type="checkbox"/>

**Hartlepool Borough Council**  
**Discretionary Housing Payments**  
**Administration Framework 2019/20**

## **Contents**

**What is the purpose of this administration guide?**

**What is a Discretionary Housing Payment?**

**What is the eligibility criteria?**

**Before you apply**

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**What can DHP cover?**

**What types of shortfall in rent can it cover?**

**How we decide who can have DHPs**

**What cannot be covered by DHPs**

**How much DHP will I get?**

**What if my circumstances change?**

**What if I disagree with a decision?**

**Related documents**



**What is the purpose of this administration framework?**

This Administration Framework explains what a Discretionary Housing Payment (DHP) is, what it is for, who can apply, how to apply and how we make decisions. More information can be found in the Department for Work and Pensions Discretionary Housing Payments Guidance Manual which can be located at <https://www.gov.uk/government/publications/discretionary-housing-payments-guidance-manual>.

**What is a Discretionary Housing Payment?**

DHPs are extra payments to help with rent or housing costs. It is a short term emergency fund and is not a means to circumvent current or future benefit and entitlement legislation.

**What is the eligibility criteria?**

You must be in receipt of Housing Benefit or the housing element of Universal Credit

**and**

be able to clearly demonstrate that further financial assistance towards housing costs is required. In most cases 'further financial assistance' means that you are unable to meet your housing costs yourself as you have no available income.

**Before you apply**

We would expect you to demonstrate the following (where appropriate) before applying:

- try to negotiate a lower rent with your landlord
- look for cheaper alternative accommodation
- seek advice from other organisations about how you can improve your situation.

**Information you need to apply**

Application forms can be obtained from The Civic Centre, Victoria Road, Hartlepool, TS24 8AY or online at

[https://www.hartlepool.gov.uk/downloads/file/2132/application\\_for\\_discretionary\\_housing\\_payments](https://www.hartlepool.gov.uk/downloads/file/2132/application_for_discretionary_housing_payments).

Application forms must be fully completed with all relevant evidence supplied where required. Incomplete application forms missing essential information will be rejected. As a minimum you will need to tell us:

- your name and contact details
- your address and landlord details
- your National Insurance Number
- confirmation of your benefit entitlements
- details of your income including amounts you receive
- breakdown of your expenses and how you spend your money each week
- details of any arrears or debts you have and the repayment amounts
- details of anyone who lives with you, including their income
- if applying for a rent deposit, bond or rent in advance the details of the new property

### **What can DHP cover?**

DHP can be used to:

- help with rent shortfalls
- help with a bond
- help with deposits
- help with removal costs
- help with rent arrears (in exceptional circumstances)

### **What types of shortfall in rent can it cover?**

There are a number of reasons why the amount of Housing Benefit, or the housing costs element of Universal Credit, you receive is less than the rent you have to pay.

These are the main types of shortfall DHP can help cover:

- Social Size Criteria – also known as the ‘under-occupancy charge’ or ‘the bedroom tax’
- Non-dependent deduction – you have an adult living with you who is not a partner, joint tenant or boarder
- Baby due – you have moved into a bigger property as your family size is due to increase
- Benefit Cap – your benefits have been capped
- Local Housing Allowance – you are only entitled to the rate for a shared room or the maximum rate for 4 bedrooms
- Any other reason than the above – for example, your income is too high to be entitled to full help with your rent

### **How we decide who can have DHPs**

DHP funding comes from central Government and is limited each year. Once the funding has been spent, no more awards can be made. Applicants must meet the eligibility criteria. We cannot award DHPs to meet each and every shortfall but we aim to make sure that payments are made to those who are most in need.

We look at the following when we make a decision:

- your income
- your savings
- if anyone else in your house can help you
- if you have any loans or debts
- if you could manage your money better
- if you or anyone in your family is ill or disabled; and
- if you have tried to put the situation right

We will not usually pay DHPs if we think you can deal with the shortfall in other ways such as:

- claiming other benefits you may be entitled to
- negotiating any debt repayments
- cutting down on unnecessary and avoidable expenses
- using your savings to cover the shortfall for a period

- any contributions that are or could be made by a non-dependent
- whether it is possible for you to move
- how long it will take you to find suitable alternative accommodation

Applications that do not demonstrate that the eligibility criteria are met will be rejected at the point of receipt and the applicant notified accordingly. Applications that do demonstrate that the eligibility criteria are met will go on to be considered by a panel who will recommend whether or not a DHP should be made and if so in what terms.

This is for guidance only. We treat every case on its own merits and may also take into account other factors that we have not mentioned above.

### **What cannot be covered by DHPs?**

DHPs cannot be paid where there is no rent shortfall.

DHPs for Bonds, rent in advance or removal costs cannot be paid retrospectively.

In addition, DHPs cannot be used to pay for:

- ineligible service charges
- increases in rent due to outstanding rent arrears
- reduced income caused by sanctions or reductions in benefit.

### **How much DHP will I get?**

It is entirely up to the Local Authority how much we pay and for how long.

If a DHP is for help towards ongoing rental liability then, depending on your circumstances, we may pay some or all of your shortfall. The DHP will go direct to the landlord.

If a DHP is for a Bond then we will speak to your landlord to confirm the value of the Bond and that it is in an approved tenancy protection deposit scheme. The DHP will go direct to the landlord.

If your DHP is towards removal costs then we will agree with you which company will undertake the removal and how much they estimate the cost of the work. We will pay the removal company.

If a DHP is to help with rent arrears then you must have been in receipt of Housing Benefit or housing element of Universal Credit at the time the arrears occurred. Arrears payments will only be considered if they are preventing you from sustaining your tenancy or moving to a more affordable one.

### **What if my circumstances change?**

DHPs are based on your circumstances at the time you apply. If your circumstances change, you must tell us straight away as this could affect how much you receive.

### **What if I disagree with a decision?**

If you disagree with our decision not to give you a DHP, the amount we have decided to give you or how long we will pay you, you can ask us to look at the decision again. We call this a 'reconsideration'.

You should write to us within one calendar month of the date of the decision letter, telling us why you do not agree with our decision.

Your case will be reviewed by another officer who will then make a final decision. You have no further right of appeal against the final decision. You cannot appeal to the Tribunals Service.

### **Related Documents**

Discretionary Housing Payments Guidance Manual, DWP 2018

<https://www.gov.uk/government/publications/discretionary-housing-payments-guidance-manual>

# FINANCE AND POLICY COMMITTEE

27<sup>th</sup> August 2019



**Report of:** Director, Children's and Joint Commissioning Services

**Subject:** REVISIONS TO LOCAL WELFARE SUPPORT  
ADMINISTRATION FRAMEWORK

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## 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Non key decision.

## 2. PURPOSE OF REPORT

- 2.1 To seek approval from Members for revisions to the Local Welfare Support (LWS) Administration Framework.
- 2.2 To seek approval to support costs towards Hartlepool's Trussell Trust Foodbank.

## 3. BACKGROUND

- 3.1 Local Welfare Support includes 'in crisis' and 'non crisis' requests for support from vulnerable residents in Hartlepool. Awards are made subject to applicants meeting agreed eligibility criteria.
- 3.2 'In crisis' support involves a resident coming into the Civic Centre to access food, energy top ups, vouchers and/ or other help.
- 3.3 'Non crisis' support involves a resident completing an application form for essential goods that will help them settle into the community for example carpets, beds, white goods and/ or kitchen equipment.
- 3.4 The council should deliver a welfare support service however, the funding it makes available and the way it is delivered are at our discretion.
- 3.5 A framework was established when the scheme first started and set the criteria and parameters in which officers can make an award.

- 3.6 Members approved the last framework in 2015/16 and there have been no significant changes since this date.
- 3.7 The attached revised framework has been developed following a review of our processes and feedback from our legal team and shows how the council makes decisions on awards.
- 3.8 The fundamental principles of LWS including eligibility criteria are unchanged.

#### **4. WELFARE SUPPORT**

- 4.1 LWS sits within The Children's Hub and is delivered by a team of Welfare Support Officers. Officers use their benefit, entitlement and voluntary sector/ service sector knowledge to help vulnerable residents who ask for help.
- 4.2 Officers have a number of 'tools' that can help them support residents and their work directly supports the council's Child and Family Poverty Strategy with the aim of mitigating impact of poverty on children, young people and their families.
- 4.3 The Officer 'toolkit' includes LWS, Discretionary Housing Payments, the Greggs Foundation grant, the Trussell Trust Foodbank and the wider food network, school uniform schemes and other forms of local support to ensure residents gets the help they need. In many cases an LWS award does not need to be made as another service / provider can and will help.

#### **5. LOCAL WELFARE SUPPORT SCHEME**

- 5.1 During 2018/19 £193,618 was allocated to the scheme, 4394 applications were received and 1501 awards made. This data is actual requests for an LWS award. This includes requests for shopping vouchers, energy top ups and furniture. It excludes Foodbank referrals, school uniform and signposting to other service providers who can help.
- 5.2. 2018/19 has seen unprecedented demand placed upon the LWS scheme with a significant rise in the number of service users asking for help. This can be directly attributed to Universal Credit (service users unable to manage on a monthly payment scheme) and also sanctions (penalties on benefit/ UC for non-engagement).
- 5.3 **Appendix 1** includes the proposed LWS Administration Framework 2018/19. This has been updated to be more user friendly and to be clear to applicants the purpose of the fund including the definition of 'crisis'.

## **6. HARTLEPOOL FOODBANK**

- 6.1 The LWS scheme currently makes an annual payment of £10,000 to the Trussell Trust Foodbank to support service users referred by the local authority suffering food poverty.
- 6.2 Hartlepool Borough Council is the single biggest referring agency to the Foodbank and awards of vouchers by the LA are now in excess of 50 per week.
- 6.3 The £10,000 provided by the local authority equates to less than £4 per head per individual we refer yet the foodbank provides food at cost of between £15 and £25 per voucher redeemed. Of late, the Foodbank has struggled to achieve the public donations that it has had in the past. Help has been provided to the trustees by the Head of Service with advice on a fundraising strategy and to alternative sources of grants and funding.
- 6.4 Ideally further funding needs to be provided to the Foodbank to ensure it is able continue to meet the demands placed upon it by the local authority. As a step towards this in 2019/20 it is proposed to increase the award from the Local Welfare Support scheme from £12,000 per annum subject to budget availability.

## **7. FINANCIAL AND RISK CONSIDERATIONS**

- 7.1 Up to 2014/15 LWS was funded from a specific Government grant. From 2015/16 this grant was removed and LWS is now funded from the Council's core budget. The Council has protected the real term value of this budget by providing annual inflationary increases and this provides a budget for 2019/20 of £198,000, compared to £180,000 in 2015/16. This approach recognises the impact national welfare reforms have had on vulnerable households and also compliments the Council's Local Council Tax Support Scheme, which continues to provide more support than the other Tees Valley councils.
- 7.2 There is a risk that the amount of funding allocated by the council to the LWS scheme is not sufficient to meet demand. Officers and managers monitor the fund carefully and to date there has not been an overspend despite an increase in demand. The role of the Welfare Support Officer includes the need to identify alternative sources of support where residents can be referred to. The knowledge and use of such services enables the LWS budget to be targeted at those that need it most.

## **8. LEGAL CONSIDERATIONS**

- 8.1 It is a statutory duty to deliver a LWS fund however it is in the council's discretion how this is done. It is important that it is administered fairly and consistently and according to the framework in order to ensure there are no legal challenges to an officer's decision making.

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

- 9.1 LWS forms a significant part of the council's Child and Family Poverty Strategy. The fund offers applicants important welfare assistance and the opportunity to access daily living support.

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

- 10.1 The Welfare Support team is committed to promoting a community and organisational culture that fully respects and values everyone's differences and needs.

## **11. STAFF CONSIDERATIONS**

- 11.1 There are no staff considerations.

## **12. ASSET MANAGEMENT CONSIDERATIONS**

- 12.1 There are no asset management considerations.

## **13. RECOMMENDATIONS**

- 13.1 That Members approve the revised Local Welfare Support Administration Framework 2019 -2020.
- 13.2 That Members approve an increase from £10,000 to £12,000 from the LWS fund to the Foodbank.

## **14. REASONS FOR RECOMMENDATIONS**

- 14.1 The administration framework has been reviewed to ensure that the public are clear on the purpose of the fund and how the council administers the fund. The revised administration framework has been reviewed and approved by our legal team. It has also been updated to reflect local need.
- 14.2 The Foodbank accepts referred users from the Welfare Support Team and the proposed funding is essential in order to ensure continued service delivery/

## **15. BACKGROUND PAPERS**

- 15.1 The current Local Welfare Support Administration Framework 2018/19 can be found at:  
[https://www.hartlepool.gov.uk/info/20127/benefits\\_and\\_grants/473/local\\_welfare\\_support](https://www.hartlepool.gov.uk/info/20127/benefits_and_grants/473/local_welfare_support).



## 16. CONTACT OFFICER

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Sign Off:-

Chief Executive ☒

Director of Policy and Finance ☒

Chief Solicitor ☒

**Hartlepool Borough Council**

**Local Welfare Support**

**Administration Framework 2019/20**

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### **What is the purpose of this administration framework?**

This Administration framework explains what Local Welfare Support (LWS) is, what it is for, who can apply, how to apply and how we make decisions. Each case is treated on its own merits and all applications receive equal and fair treatment.

### **What is Local Welfare Support?**

LWS is a short term emergency fund to help those who find themselves in a financial crisis. It is not a means to support reductions in benefit income or a solution to longer term financial issues. It includes

- Awards for those who present to the Council in immediate need – ‘in crisis’
- Awards for those who are residents of Hartlepool, not in immediate crisis but need help with household goods etc – ‘non crisis’.

### **What is a ‘crisis’?**

A crisis is defined as ‘a time of intense difficulty’ or ‘sudden misfortune’. Examples include (but are not restricted to) an unexpected reduction in welfare benefits and entitlements, loss of paid work, bereavement, breakdown in a relationship, a house fire or flood. In such cases the crisis places the applicant in a situation where they have no access to essential needs which could lead to a deterioration in their health and wellbeing.

#### **‘In crisis’**

To be considered for an award you can either call the Welfare Support Team on 01429 284284 OR visit the Civic Centre during office hours and speak to a Welfare Support Officer.

Typically awards are made in the form of Foodbank Vouchers, supermarket vouchers, gas and electricity top ups on key cards and clothing vouchers. No cash is provided.

#### **‘Non crisis’**

This fund is targeted at Hartlepool residents that are leaving accommodation (for example supported accommodation, hospital, a hostel, care or prison) and need household items in order for them to establish a tenancy. It is not intended to support routine house moves nor for routine replacement of broken items or equipment.

To be considered for an award you need to complete an application form explaining (as a minimum) who you are, what your circumstances are, your tenancy information, details of your income and expenditure and your priority items.

### **Hartlepool Foodbank**

LWS supports the work of Hartlepool Foodbank and offers eligible applicants vouchers that can be redeemed at their premises. Strict criteria is used to determine who can and cannot have a Foodbank Voucher. Applicants who are eligible for a foodbank voucher but decline will not be eligible for alternative food support or vouchers.

### **What is the eligibility criteria?**

You do not need to be in receipt of benefits to ask for LWS but you must be able to clearly demonstrate you are in crisis, that financial assistance is required and that failure to do so could lead to a deterioration in (your) health and wellbeing.

You must be eligible to access government funding and have recourse to public funds.

### **Before you apply**

We would expect you to show that you have tried all other sources of support as a means to improve your situation. Welfare Support Officers will signpost you to such support if they believe this will alleviate your crisis and prevent the need for a LWS award.

### **Information you need to apply**

Before you contact us make sure you have the following -

- your name and contact details
- your address and landlord details
- your National Insurance Number
- confirmation of your benefit entitlements
- details of your income including amounts you receive
- breakdown of your expenses and how you spend your money each week
- details of any arrears or debts you have and the repayment amounts
- details of anyone who lives with you, including their income

If you are applying for 'non crisis' support you need to fully complete an application form and provide all relevant evidence and documentation requested. Incomplete forms will be rejected.

### **How we decide who can have LWS**

LWS is a limited fund. Once the funding has been spent, no more awards can be made. Applicants must meet the eligibility criteria. We cannot award LWS to each and every applicant that applies but we aim to make sure that payments are made to those who are most in need. Wherever we can we signpost to other support agencies that can meet your needs. This allows us to target awards to those most in need and makes the fund go further.

We look at the following when we make a decision:

- your income
- your savings
- if anyone else in your house can help you
- if you have any loans or debts
- if you could manage your money better
- if you or anyone in your family is ill or disabled; and
- if you have tried to put the situation right

We will not usually pay LWS if we think you can deal with the crisis in other ways such as:

- claiming other benefits you may be entitled to
- negotiating any debt repayments

- cutting down on unnecessary and avoidable expenses
- using your savings to cover the problem
- any contributions that are or could be made by a non-dependent
- accessing support from a local service provider that can meet your needs.

Applications that do not demonstrate that the eligibility criteria are met will be rejected and the applicant notified accordingly. Applications that do demonstrate that the eligibility criteria are met will be considered by an Officer who will decide if LWS is suitable and if so in what terms.

This is for guidance only. We treat every case on its own merits and may also take into account other factors that we have not mentioned above.

### **What cannot be covered by LWS?**

LWS cannot be used for the following –

- An expense which a statutory service provider has a duty to meet
- A need which occurs outside of the UK
- Travel costs to and from school, to and from work or general transport costs
- Expenses in connection with court costs, legal fees, fines etc
- Costs of domestic support or care
- Repairs to housing which should be met by a landlord
- Health costs including optical and dental services
- Debt payments
- Holidays
- TVs, radios or other such electrical goods and their associated licenses
- Costs associated with motor vehicles

### **How much LWS will I get?**

You will not get any cash. LWS is provided in the form of vouchers, top ups or goods. Officers use a framework that helps them determine appropriate allowances based on your personal circumstances.

### **What if my circumstances change?**

LWS is based on your circumstances at the time you apply. If your circumstances change, you must tell us straight away as this could affect your award.

### **What if I disagree with a decision?**

If you disagree with our decision not to give you LWS you can ask us to look at the decision again. We call this a 'reconsideration'.

You should write to us within one calendar month of the date of the decision letter, telling us why you do not agree with our decision.

Your case will be reviewed by another officer who will then make a final decision. You have no further right of appeal against the final decision. You cannot appeal to the Tribunals Service.

# FINANCE AND POLICY COMMITTEE

27<sup>th</sup> August 2019



**Report of:** Chief Executive

**Subject:** COUNCIL PLAN 2017/18 – 2019/20  
6 MONTHS PROGRESS UPDATE

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## 1. TYPE OF DECISION/APPLICABLE CATEGORY

For information only – refers to previous budget and policy framework decision.

## 2. PURPOSE OF REPORT

- 2.1 The purpose of this report is to update Elected Members on the progress made on the Council Plan 2017/18 – 2019/20 between October 2018 and the end of March 2019 and to ask Members to agree to a number of changes / updates to the Plan. The report also includes the Council's new Strategic Risk Register.

## 3. BACKGROUND

- 3.1 The Council Plan 2017/18 – 2019/20 was adopted by Council on 16<sup>th</sup> March 2017. The Plan, which was developed following the Your Say, Our Future consultation with residents and staff, sets out the priorities that the Council is committed to delivering by 2020. Finance and Policy Committee agreed an amended Council Plan 2017/18 - 2019/20 on 29<sup>th</sup> October 2018 following a mid-term review.

## 4. COUNCIL PLAN – PROGRESS UPDATE

- 4.1 In the mid-term review report to Finance and Policy Committee in October 2018 it was noted that the Committee would receive progress updates every 6 months. This report sets out the progress made on the Council Plan between October 2018 and the end of March 2019.

## 4.2 Key Deliverables - achievements

There are 6 strategic priorities within the Council Plan which are underpinned by 45 key deliverables. A lot has been achieved during the 6 months period leading up the financial year end. Members are requested to note the key achievements as set out below:

<b>GROWING OUR JOBS, ECONOMY AND SKILLS</b>
<ul style="list-style-type: none"> <li>• £2m identified from the Indigenous Growth Fund to deliver the masterplan for the future development of our strategic business parks and public realm.</li> <li>• New exhibit, RML 497, a World War 2 Rescue Motor Launch arrived at the National Museum of the Royal Navy.</li> <li>• 5 year investment strategy for growing the tourism and visitor economy through a cultural events programme agreed.</li> <li>• Programme of enterprise events which promote local businesses and attractions launched in partnership with the new Economic &amp; Tourism Forum.</li> <li>• Work with local businesses and further and higher education providers on the development of level 2 to level 7 skills pathways well underway.</li> <li>• Innovation and Skills Quarter (ISQ) Business Forum established and an events programme for the ISQ planned for June including Hartlepool Live and Armed Forces Day.</li> </ul>

<b>REGENERATING OUR TOWN</b>
<ul style="list-style-type: none"> <li>• Church Street and Church Square renewal schemes completed providing a dynamic focal point and events space in the town using £5.5 m of external investment.</li> <li>• Work to deliver improved pedestrian and gateway access across Stockton Street started.</li> <li>• Conversion of the former General Post Office building in Whitby Street into the Bis with starter business units and workshops for creative enterprises well underway with launch event planned for May.</li> <li>• Multi-Agency Derelict Building Group established and priority list of derelict buildings developed.</li> </ul>



**DEVELOPING AND PROMOTING HARTLEPOOL AS A GREAT PLACE TO LIVE**

- Love Hartlepool campaign launched to promote the positive aspects of Hartlepool and promote its successes far and wide.
- 376 net additional homes delivered in 2018/19.
- New play facility on Coronation Drive completed.
- Phase 1 improvement works at Rossmere Park completed.
- New Memorial Wood at Summerhill Country Park created.
- Route 14 cycleway from Greatham towards Cowpen Bewley resurfaced.

**DEVELOPING NEW SERVICES FOR PEOPLE AND COMMUNITIES**

- Integrated Discharge Team and Integrated Single Point of Access developed which have contributed to a reduction in delayed discharges and improved outcomes for older people.
- Additional support to care homes for older people provided which has contributed to a significant improvement in Care Quality Commission ratings with 87.9% of services rated good or outstanding.
- Excellent feedback received from people who use services and carers through the national surveys that are part of the Adult Social Care Outcomes Framework.
- Health and Care Academy, supporting integrated apprenticeship opportunities across the health and care sectors, developed through work with NHS and education partners.
- Programme to widen family participation in sport and leisure activities launched utilising £280,000 of Sport England funding.

### **BUILDING BETTER BEGINNINGS AND BETTER FUTURES FOR OUR CHILDREN AND YOUNG PEOPLE**

- 2019 Local Government Chronicle (LGC) Children's Services of the Year award received, the biggest celebration of excellence in local government.
- 87% of schools and 100% of FE Colleges judged as good or outstanding which means that our education improvement programme is well on the way to meeting our target of 100% by 2020.
- Careers Education, Information, Advice and Guidance programme being delivered in all schools in conjunction with TVCA.
- Investment continues into the school holiday programme for children and young people providing free swims and a free meal service to tackle the growing problem of 'holiday hunger'.
- School-based programme for improving the emotional and mental health and wellbeing of children and young people delivered including mindfulness training for schools.
- Launch event for the Centre for Excellence in Creative Arts held to promote the new centre and the services/facilities available.

### **PROVIDING EFFECTIVE LEADERSHIP BASED ON INNOVATION AND EFFICIENCY**

- 'Report it' app launched to enable residents to raise concerns with the Council digitally.
- Council Tax and Business Rate bills issued electronically to those who signed up for the service.
- 2019 local elections promoted in Hartbeat and through social media to encourage people to use their vote.
- Joint Your Say, Our Future event held in March for the Safer Hartlepool Partnership and Health and Wellbeing Board with over 40 people attending.

#### **4.3 Key Deliverables – changes / updates to the Plan**

As work has progressed on delivering the Council Plan a number of changes / updates have been identified. This includes the slippage of a number of due dates which have been prompted by unforeseen delays to schemes due to staffing changes, further investigation works being required or capacity issues for our contractors. Other due dates have changed to reflect the end date of those actions rather than the start or decision making date or where new or further action has been identified within existing schemes.

## 4.4 Due dates have changed for the following key deliverables:

Original	New due date:
Deliver pedestrian improvements and gateway improvements to Stockton Street and the Town Centre to create a sense of arrival by August 2019.	September 2019
Deliver the Innovation Skills Quarter including the regeneration of Church Street and Church Square, the development of Film and TV studio and the opening of creative enterprise incubator workspace in the former GPO building - 'the BIS' by April 2020.	September 2020
Complete the regeneration of Seaton Carew including new Beach huts and a crazy golf course by April 2019.	August 2019
Complete a linear park on the Waterfront and welcome the ship RML 497 at the National Museum of the Royal Navy by June 2019.	September 2019
Commence construction of the Waterfront Events space by November 2019.	July 2020
Commence construction of the new Waterfront Visitor attraction telling the story of the Royal Navy and Hartlepool's Maritime history by April 2020.	September 2020
Commence construction of Hartlepool's western growth corridor/Elwick bypass by September 2019.	February 2021
Enable the delivery of housing development in accordance with the local plan by March 2019.	April 2020
Deliver a £4m neighbourhood and highways investment programme to deliver shopping parades, parks, play sites, road and pavements including King Oswy Drive Shopping Parade by January 2019, Headland Town Square by March 2019 and Rossmere Park by October 2019.	Overall due date of March 2020
Deliver a programme of support to ensure all schools provide high standards of careers advice and enterprise education by April 2020.	July 2020
Deliver development plan to implement new arrangements for the Safeguarding Children's Partnership to work together to protect and safeguard children at risk of harm by January 2019.	December 2020
Deliver a new model of support to schools to improve their capacity to help children and young people with SEND at an earlier stage by July 2019.	July 2020

Work with our partners to develop a new needs assessment (JSNA) to influence commissioning with a new model agreed by December 2018 and implemented by March 2019.	Overall due date of June 2019
Launch a co-ordinated approach to engaging citizens in becoming actively involved in meeting local needs and shaping the future of their communities by March 2019.	November 2019

4.5 Changes have been made to the wording included in the Plan for the following key deliverables:

Original	Now:
Promote transport and travel patterns to work in and around Hartlepool through the Hartlepool Active Travel hub by March 2020.	Merged into 1 key deliverable with each of these activities being delivered within the overarching key deliverable:
Resurface route 14 cycle way from Greatham towards Cowpen Bewley by March 2019.	
Resurface local and strategic cycle and walkways routes including Brenda Road to Burn Road, Brenda Road to the A689 and routes around Bishop Cuthbert's green wedge by March 2020.	Encourage more sustainable modes of travel across Hartlepool by March 2020.
Launch a public education campaign to encourage residents to work with the Council to help look after our environment and neighbourhoods in March 2019.	<p>Changed to reflect the broader Love Hartlepool campaign of which this work is part:</p> <p>Launch the Love Hartlepool campaign by April 2019.</p>

4.6 In addition, a new key deliverable has been added to the plan:

- Work with partner agencies to increase the level of support available from various work programmes to support vulnerable adults into employment by April 2019.

#### 4.7 **New Key Deliverables agreed by Finance and Policy Committee 22<sup>nd</sup> July 2019**

This report covers progress on the Council Plan between October 2018 and the end of March 2019 and therefore does not include the accelerated priorities agreed by Finance and Policy Committee in July 2019. Progress against these new key deliverables (set out below) will be included within the next 6 month progress report:

- Transforming outdoor play provision as part of our Neighbourhood Improvement Programme;
- Developing a Headland heritage and tourism strategy; and

- Accelerating an options appraisal and business case for sports and leisure facilities.

#### 4.8 Performance Indicators

During the Council Plan refresh a suite of 30 measures were identified. Since they were agreed in October further work has been undertaken to finalise the definitions of those Performance Indicators (PIs) and identify benchmarks as appropriate. Following a further review by the Corporate Management Team (CMT) a number of changes to the PIs have been made as set out below:

Original	Now
Overall employment rate (working age) (%) in Hartlepool.	No change.
New business registration rate per 10,000 population aged 16 and above.	No change.
Increase in rateable value in relation to businesses in Hartlepool	Change: Total rateable value of business properties in Hartlepool.
Proportion of residents aged 16-24 claiming unemployment related benefits (%).	No change.
Percentage of Council spend that goes to local suppliers.	No change.
Adult literacy / adult skills levels.	Change: Percentage of adults (aged 16-64) without a qualification.
Visitor Numbers.	No change.
Business units - occupancy rates.	Change: Vacant shops / units for retail.
Housing Growth - Net additional homes.	Change: Council Tax base growth.
Number of affordable homes delivered (gross).	No change.
Percentage of household waste sent for reuse, recycling and composting in Hartlepool.	No change.
Overall crime rate per 1,000 head of population.	No change.

Percentage of residents who are satisfied with their local area as a place to live.	No change.
Percentage of commissioned adult social care providers that are rated good or outstanding by the Care Quality Commission.	No change.
Percentage of older people achieving independence for older people through rehabilitation / intermediate care.	No change.
Proportion of adults in contact with secondary mental health services in paid employment.	No change.
Proportion of adults in contact with learning disabilities in paid employment.	No change.
Percentage of those accessing recovery services moving into volunteering or employment.	Remove – no benchmarking available.
Drugs and alcohol: sustained recovery 6 months after completing treatment.	Change into 3 separate PIs: Sustained recovery 6 months after completing treatment (opiates); Sustained recovery 6 months after completing treatment (non-opiates); Sustained recovery 6 months after completing treatment (alcohol).
Percentage schools rated good or outstanding by Ofsted.	No change
Education - Proportion of students attaining 5+ A*-C (new grade 4/5 and above) including English and mathematics.	Change to reflect new national grading system: Average Progress 8 score per pupil.
Progression to Higher Education / skills age 19.	Change to provide clarity: Percentage of young people achieving Level 3 qualification by age 19.
Percentage of 16-17 year olds who are NEET.	No change.
Pupil attendance at school (analysis by gender and school phase).	Change to provide clarity: Total absence in secondary school – authorised and unauthorised.

Proportion of children in low-income families 0-16.	Change:  Percentage of children living in households where their household income is less than 60% of the median after housing costs.
Rate of looked after children per 10,000 population.	No change.
Immunisation rate for children aged 2 who have been immunised for Measles, Mumps and Rubella (MMR).	No change.
External Auditor's Assessment of 'value for money' provided by the Council.	Remove – no benchmarking available.
Percentage total voter turnout at local elections.	No change.
Percentage of staff who feel satisfied about working for the Council.	No change.

4.9 **Appendix 1** sets out the position for each of the PIs as at the end of March 2019. Each PI, where possible, has been RAG rated against the national position and the direction of travel locally has been identified. Members are requested note the changes to the PIs and the position at the end of March 2019 as outlined in the appendix.

#### 4.10 **Strategic Risk Register**

Finance and Policy Committee agreed the Council's new Risk Management Framework at their meeting in June 2019 and within that report it was noted that a new Strategic Risk Register was being developed. The Register captures the strategic risks facing the Council in the delivery of the Council Plan and its key responsibilities and forms the third strand of the Council's performance management framework.

4.11 The new Strategic Risk Register is included as **Appendix 2**. It includes 18 risks which will be reviewed regularly by officers with updates being provided to Finance and Policy Committee every 6 months within the Council Plan progress report. Detailed risk capture forms are included for those risks that have a risk score of 8 or above and are therefore RAG rated as red according to the Council's Risk Matrix. These risk capture forms include details of the actions that will be taken to introduce new control measures or improve existing ones in order to reduce the impact or likelihood of the risk.

## 5. **RISK IMPLICATIONS**

5.1 The Council has recently agreed a new Risk Management Framework which will ensure that appropriate arrangements are in place for the management

of the Council's key strategic risks. Embedding the identification and management of risk will support the achievement of our strategic objectives and provide assurance to elected members that these risks are being appropriately managed. This report includes the Council's new Strategic Risk Register and confirms that Finance and Policy Committee will receive scheduled updates on this every 6 months.

- 5.2 The Council Plan and Strategic Risk Register are monitored regularly to enable early identification and reporting to Members of any emerging risks which might prevent delivery of the strategic priorities identified in the Council Plan.

## **6. FINANCIAL CONSIDERATIONS**

- 6.1 All proposals will be prepared giving due regard to financial considerations. The Council Plan, Medium Term Financial Strategy and the 5 year Capital Plan are developed as three parts of a single plan to ensure the links between the three are strengthened. In addition, effective risk management arrangements should help improve the use of valuable and limited financial resources.

## **7. LEGAL CONSIDERATIONS**

- 7.1 Whilst the Council Plan is not included in the list of plans and strategies required to be approved or adopted by the Local Authority under Regulation 3 of the Local Authorities (Committee System) (England) Regulations 2012, it is recommended good practice to do so and therefore is included as part of the Council's Budget and Policy Framework.

## **8. CONSULTATION**

- 8.1 No implications.

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

- 9.1 The strategic priorities and key deliverables identified in the Council Plan will work to reduce child and family poverty within Hartlepool. Specifically the plan aims to deliver: support into high value sustainable employment and also apprenticeship opportunities; improved educational attainment; high standards of career advice and enterprise education in all schools; increased availability of social housing; widened family participation in sport and leisure utilising Sport England funding. There is no change to the Child and Family Poverty Impact Assessment included within the Council Plan 2017/18 – 2019/20 Mid Term Review report to Finance and Policy Committee 29<sup>th</sup> October 2018.



**10. EQUALITY AND DIVERSITY CONSIDERATIONS**

- 10.1 The strategic priorities and key deliverables identified in the Council Plan aim to have a positive impact on the whole population of Hartlepool. In relation to the protected groups identified in the Equality Act there are key deliverables focusing specifically on improving outcomes for young people, older people and those with disabilities in addition to work with staff to improve awareness of different groups and communities within Hartlepool. There is no change to the Equality Impact Assessment included within the Council Plan 2017/18 – 2019/20 Mid Term Review report to Finance and Policy Committee 29<sup>th</sup> October 2018.

**11. STAFF CONSIDERATIONS**

- 11.1 No implications.

**12. ASSET MANAGEMENT CONSIDERATIONS**

- 12.1 No implications.

**13. RECOMMENDATIONS**

- 13.1 It is recommended that the Finance and Policy Committee:
- notes the progress made on the key deliverables in the Council Plan between October 2018 and the end of March 2019 as set out in section 4.2;
  - notes the changes to the key deliverables in the Council Plan as set out in section 4.4, 4.5 and 4.6;
  - notes the changes to the Council Plan Performance Indicators (PIs) as set out in section 4.7;
  - notes the position in relation to the Council Plan PIs as set out in appendix 1; and
  - notes the new Strategic Risk Register as set out in appendix 2.

**14. REASONS FOR RECOMMENDATIONS**

- 14.1 Finance & Policy Committee have overall responsibility for Performance Management and are the responsible Committee for a number of service areas contained within the Council Plan.

## 15. BACKGROUND PAPERS

- 15.1 Council Plan 2017/18 – 2019/20 report to Finance and Policy Committee 6<sup>th</sup> March 2017.

Council Plan 2017/18 – 2019/20 report to Council 16<sup>th</sup> March 2017.

Council Plan 2017/18 – 2019/20 Mid Term Review report to Finance and Policy Committee 29<sup>th</sup> October 2018.

Risk Management Framework report to Finance and Policy Committee 24<sup>th</sup> June 2019.

## 16. CONTACT OFFICER

Gill Alexander  
Chief Executive  
01429 523001  
[Gill.alexander@hartlepool.gov.uk](mailto:Gill.alexander@hartlepool.gov.uk)

Sign Off:-

Chief Executive	<input checked="" type="checkbox"/>
Director of Finance and Policy	<input checked="" type="checkbox"/>
Chief Solicitor	<input checked="" type="checkbox"/>



**HARTLEPOOL  
BOROUGH COUNCIL**

**Council Plan 2017/18 – 2019/20**

Basket of Performance Measures 2018/19

## RAG Rating Key









<b>G</b>	Better than England average and getting better (improving) or at least staying the same (static)
<b>A</b>	Worse than England average but getting better (improving) / better than England average but getting worse (showing signs of decline)
<b>R</b>	Worse than England average and getting worse or showing no sign of improvement

## Direction of Travel

- Short term - change in Hartlepool data since previous data (either the previous quarter or previous year)
- Long term - change in Hartlepool data from 2016/17 baseline

Performance Indicator	Latest Data	RAG Rating	Direction of Travel Short Term	Direction of Travel Long Term
NI 151 Overall employment rate (working age)	63.1%	R	↑	↑
NI 171 New business registration rate per 10,000 population aged 16 and above	43%	R	↓	↓
CEDFI P104 Total rateable value of business properties in Hartlepool	£78,782,885	Unrated—Local PI	↑	↑
RND 181 Youth unemployment rate	13%	Unrated—Local PI	↓	↑
CEDFI P103 Percentage of Council spend that goes to local suppliers	30.2%	Unrated—Local PI	↑	↑
NEW 03 Percentage of adults (aged 16-64) without a qualification	Awaiting data	Unrated—New local PI	No data	No data
RND P092 Number of visitors to Hartlepool	3.44 million	Unrated—Comparison data unavailable	No data	No data
CEDFI P106 Vacant shops/units for retail	Awaiting data	Unrated—Local PI	No data	No data
CEDFI P107 Council Tax base growth	11.46%	Unrated—Local PI	↑	↑
NI 155 Number of affordable homes delivered (gross)	61	A	↑	↑
NI 192 Percentage of household waste sent for reuse, recycling and composting in Hartlepool	32.5%	A	↓	↓
RND P163 Overall crime rate per 1,000 head of population	118.3	R	↑	↑

Performance Indicator	Latest Data	RAG Rating	Direction of Travel Short Term	Direction of Travel Long Term
CEDCS P114 Percentage of residents who are satisfied with their local area as a place to live	No data currently available	Unrated—Local PI	No data	No data
NEW 06 Percentage of commissioned adult social care providers that are rated 'good' or 'outstanding' by the Care Quality Commission	87.9%	G	↑	↑
ASCOF 2B-1 Percentage of older people achieving independence for older people through rehabilitation/ intermediate care	85.8%	G	↓	↑
ASCOF 1F Proportion of adults in contact with secondary mental health services in paid employment	11.8%	G	↓	↑
ASCOF 1E Proportion of adults in contact with learning disabilities in paid employment	20.1%	G	↑	↑
NEW 08A Sustained recovery 6 months after completing treatment (opiates)	5.54%	R	↓	↓
NEW 08B Sustained recovery 6 months after completing treatment (non-opiates)	23.94%	R	↑	↑
NEW 08C Sustained recovery 6 months after completing treatment (alcohol)	32.49%	R	↑	↓
CSD P114 Percentage of schools rated 'good' or 'outstanding' by OFSTED	84%	A	↑	↑
NEW 13 Average Progress 8 score per pupil	-0.47%	R	↓	↓
NEW 09 Percentage of young people achieving Level 3 qualification by age 19	54.2%	A	↑	↑

Performance Indicator	Latest Data	RAG Rating	Direction of Travel Short Term	Direction of Travel Long Term
NEW 10 Percentage of 16-17 year olds who are not in education or training (NEET)	3.1%	A		
NEW 11 Total absence in secondary school - authorised and unauthorised	7.5%	R		
NEW 12 Percentage of children living in households where their household income is less than 60% of the median after housing costs.	34.1%	Unrated—Local PI	No data	No data
CSD P157 Rate of looked after children per 10,000 population	138.5	R		
VSB10_M04 Immunisation rate for children aged 2 who have been immunised for Measles, Mumps and Rubella	92.4%	G		
CEDLS P100 Percentage total voter turnout at local elections	24.05%	Unrated—Local PI	To follow	To follow
CEDCS P112 Percentage of staff who feel satisfied about working for the Council	78%	Unrated—Local PI	No data	No data



# Strategic Risk Register

June 2019



**Risk Scoring Matrix:**

	IMPACT			
LIKELIHOOD	1 NEGLECTIBLE	2 MINOR	3 MAJOR	4 CRITICAL
4 ALMOST CERTAIN	AMBER 4	RED 8	RED 12	RED 16
3 PROBABLE	GREEN 3	AMBER 6	RED 9	RED 12
2 POSSIBLE	GREEN 2	AMBER 4	AMBER 6	RED 8
1 HARDLY EVER	GREEN 1	GREEN 2	GREEN 3	AMBER 4

This register includes the detailed risk capture forms for those Strategic Risks that have a risk score of 8 or above and are therefore RAG rated as red.

## 7.1 APPENDIX 2

No.	Risk Title	Risk Score	Risk Owner
1	<b>Finance</b> - Failure to deliver a balanced budget leading to a reduction in services provided, damage to reputation and negative impact on the community.	8	Chris Little
2	<b>Workforce</b> - The skills, expertise, wellbeing, performance and overall size of the workforce available may not be sufficient to support the overall aims of the organisation resulting in the failure to deliver services.	6	Claire McLaren
3	<b>Communication and Engagement</b> – Failure to deliver effective communication, consultation and engagement could impact adversely on the Council’s reputation and ability to deliver plans and strategies.	6	Claire McLaren
4	<b>Health and Safety</b> - Failure to comply with Health and Safety legislation and ensure appropriate risk controls are in place to ensure the health, safety and wellbeing of individuals at work and those who may be affected by our act or omission.	8	Claire McLaren
5	<b>Information Governance and Cyber Security</b> - Failure to comply with legislation and ensure appropriate system safeguards to ensure the confidentiality, integrity and availability of personal and corporate information and data leading to data loss, cyber-attacks, legal proceedings and significant financial penalties.	8	Claire McLaren
6	<b>Information Technology</b> – Failure to provide a resilient and responsive ICT infrastructure leading to ineffective service delivery or the loss of services.	8	Claire McLaren
7	<b>Children and Young People</b> – Failure to improve life chances, provide opportunities for education for children and young people particularly those whose circumstances make them vulnerable to poor outcomes.	9	Sally Robinson
8	<b>Drugs and Alcohol</b> – Failure of the drugs and alcohol addiction services to prevent, treat and provide recovery for those with substance misuse problems in Hartlepool.	9	Dr Pat Riordan

## 7.1 APPENDIX 2

9	<b>Safeguarding children</b> – Failure to protect children and young people from harm and promote their welfare.	8	Jane Young
10	<b>Market failure and sufficiency of provision</b> – Provider failure within residential or non-residential care leading to insufficient capacity to support vulnerable adults appropriately.	6	Danielle Swainston
11	<b>Adult Safeguarding</b> – Failure to protect an adult’s right to live in safety, free from abuse and neglect.	6	John Lovatt
12	<b>Access to Leisure, Community and Preventative services</b> - Failure to engage the at risk population in preventative, cultural, leisure and community based activities could impact on demand led services.	6	Gemma Ptak
13	<b>Highways and Flood Defences</b> – Failure to maintain the Borough Highway infrastructure and protect areas from flooding risks could impact on the economy and quality of life.	6	Tony Hanson
14	<b>Community Safety</b> - Failure to provide a safer Hartlepool where residents and visitors can live free from crime, fear of crime and anti-social behaviour could impact on quality of life and tourism.	6	Tony Hanson
15	<b>Waste Management</b> - Council are unable to collect and dispose of all household waste within existing financial resources.	9	Tony Hanson
16	<b>Business Continuity</b> - Failure to provide Council services as a result of disruption to the normal day to day activities.	8	Corporate Management Team
17	<b>Economic Regeneration</b> – Failure to encourage regeneration, support enterprise, reduce unemployment and grow new and existing businesses could impact adversely on the sustainability of Hartlepool.	6	Andrew Carter
18	<b>Housing</b> – Failure to address the housing requirements of the borough and provide affordable, high-quality housing.	6	Andrew Carter

## 7.1 APPENDIX 2

<b>RISK TITLE:</b>	<b>Finance</b> - Failure to deliver a balanced budget leading to a reduction in services provided, damage to reputation and negative impact on the community.	
<b>DETAILED DESCRIPTION OF CURRENT RISK:</b>		
<b>CAUSES</b> - what could make it happen?	<b>IMPLICATIONS</b> - what impact would it have if it did?	<b>EXISTING INTERNAL CONTROLS</b> – what are we already doing to reduce the likelihood and/or impact of it happening?
Reduction in government funding leading to the necessity to deliver savings, cuts and efficiencies.  Individual service pressures for example rising number of looked after children; increasing demands on Adults’ services.  Higher national pay awards and / or inflation than forecast.  Permanent reduction in business rates base – Power Station e.g.  Political uncertainty – national and local.	Potentially a significant impact on reputation, service delivery, and achievement of Council objectives.  Service cuts, redundancies, Section 114 notice etc.	Prepare and deliver a balanced and sustainable Medium Term Financial Strategy including the Capital Strategy and Reserve Strategy.  Ongoing monitoring and delivery of savings and efficiency targets.  Maximise and safeguard income for the council, including effective treasury management strategy, debt recovery, maximise funding opportunities.  Timely and effective financial performance reporting and monitoring.  Good understanding and interpretation of changes to funding regimes and analysis of the Government annual budget statements.  Robust governance framework.  Compliance with relevant accounting principles and standards to satisfy legislative and regulatory requirements.

## 7.1 APPENDIX 2

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				
	POSSIBLE				8
	HARDLY EVER				

RESPONSIBLE OFFICER	Chris Little
DIVISION	
DEPARTMENT	Chief Executives
DATE OF ASSESSMENT	April 2019

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Being prepared to respond quickly to future changes	Close monitoring of future changes to Local Government Finance.	Chris Little	March 2020
	Close monitoring of the impact of 100% business rate retention.	Chris Little	March 2020
	Agree savings programme for 2020/21.	Gill Alexander	September 2019
	Monitor delivery of savings programme.	Chris Little	December 2019

## 7.1 APPENDIX 2

<b>RISK TITLE:</b>	<b>Health &amp; Safety</b> - Failure to comply with Health and Safety legislation and ensure appropriate risk controls are in place to ensure the health safety and wellbeing of individuals at work and those who may be affected by our by act or omission.	
<b>DETAILED DESCRIPTION OF CURRENT RISK:</b>		
<b>CAUSES</b> - what could make it happen?	<b>IMPLICATIONS</b> - what impact would it have if it did?	<b>EXISTING INTERNAL CONTROLS</b> – what are we already doing to reduce the likelihood and/or impact of it happening?
<p>Non-compliance with legislation, government guidance and best practice standards</p> <p>Failure to maintain corporate Health and Safety Policy standards</p> <p>Poorly communicated policies and procedures leading to senior leaders, managers and employees not being aware of their individual Health and Safety roles and responsibilities</p> <p>Lack of incident reporting and a low near miss to accident reporting ratio</p> <p>Failure to correctly monitor employees health for those exposed to hazardous substances such as HAVS</p>	<p>Risk to life, including: Fatality, injury, ill health</p> <p>Prosecution under the Health and Safety at Work Act 1974, The Regulatory Reform (Fire Safety) Order 2005, the Occupiers' Liability Act for breach of statutory duty and accompanying regulations.</p> <p>Costs arising from other enforcement actions.</p> <p>Fees for intervention by enforcing authority, such as the HSE. Currently £154 per hour.</p> <p>Torte of negligence (Civil Claim).</p> <p>Fines from prosecution, maximum fine is unlimited; custodial sentences, up to a maximum of 18 years for gross negligence manslaughter; indirect incurred legal costs.</p> <p>Insurance costs; compensation award; excess payments, levied by the insurance company; raised insurance premiums.</p> <p>Costs to the reputation of Hartlepool Borough Council.</p> <p>Indirect costs such as costs arising from investigations, retraining and developing systems.</p>	<p>Corporate Health and Safety Policy</p> <p>Accompanying Health and Safety Policies</p> <p>Employing a qualified Health, Safety and Risk Manager and Health and Safety team to provide advice and assistance to ensure that directors, manager and employees are aware of their responsibilities under health and safety legislation and to ensure that health and safety standards are adequately maintained.</p> <p>Corporate and departmental H&amp;S committees to ensure that managers and trade union representatives are consulted on matters of health and safety</p> <p>An online incident reporting system</p> <p>H&amp;S training catalogue, available through the workforce development programme and free to all employees</p> <p>Induction checklist with H&amp;S instructions</p> <p>H&amp;S audit programme conducted by the HS&amp;R team to ensure that H&amp;S performance standards are maintained</p> <p>Unannounced site safety inspections conducted by the H&amp;S team to ensure compliance with safety legislation</p>

## 7.1 APPENDIX 2

	Loss of income.  Costs arising from loss or damage of plant or property	Director appointed to provide resources for H&S safety
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CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				
	POSSIBLE				8
	HARDLY EVER				

<b>RESPONSIBLE OFFICER</b>	Claire McLaren
<b>DIVISION</b>	Corporate Services
<b>DEPARTMENT</b>	Chief Executives
<b>DATE OF ASSESSMENT</b>	May 2019

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Online reporting system for near misses.	Develop new near miss reporting system and launch with communication campaign.	Claire McLaren	August 2019
Reducing exposure to harmful articles and substances.	Begin a programme of parallel pro-active audits.	Claire McLaren	July 2019
Safety inspections in place for operations under CDM (2015) Regulations.	Increase the number of unannounced safety inspections for operations classified under the	Claire McLaren	July 2019

## 7.1 APPENDIX 2

	Construction Design and Management Regulations 2015 (CDM).		
Clarity on who is responsible for maintaining fire safety systems.	Identify the lead officer for each building and provide guidance and advice on their fire safety duties.	Claire McLaren	October 2019



## 7.1 APPENDIX 2

<b>RISK TITLE:</b>	<b>Information Governance and Cyber Security</b> - Failure to comply with legislation and ensure appropriate system safeguards to ensure the confidentiality, integrity and availability of personal and corporate information and data leading to data loss, cyber-attacks, legal proceedings and significant financial penalties.
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<b>DETAILED DESCRIPTION OF CURRENT RISK:</b>		
<b>CAUSES</b> - what could make it happen?	<b>IMPLICATIONS</b> - what impact would it have if it did?	<b>EXISTING INTERNAL CONTROLS</b> – what are we already doing to reduce the likelihood and/or impact of it happening?
<p>Non-compliance with legislation and best practice standards.</p> <p>Human error.</p> <p>Deliberate attack.</p> <p>System failure.</p>	<p>If the Council does not effectively manage personal data, a penalty of up to £0.5m may be levied by the Information Commissioner.</p> <p>Detrimental impact on end user/customer.</p> <p>Service disruption.</p> <p>Potentially major reputational damage.</p>	<p>Compliance with legislation and information publication requirements.</p> <p>Information management policies, strategies, processes and procedures and associated staff training (mandatory).</p> <p>Data Security and Protection (DPS) Toolkit.</p> <p>Regular monitoring of information governance by Corporate Information Governance Group with all Department's represented and chaired by an Assistant Director.</p> <p>Mandatory for all staff to undertaken IG training once a year – alternating face-to-face and e-learning.</p> <p>Automatic email encryption where TLS certificates exist.</p> <p>Encryption of removable media – laptops, tablets, USB devices.</p> <p>Security of our system monitored by Northgate and reported to HBC monthly through Operations Board.</p> <p>Information security incident management process incorporating lessons learned improvement action plans.</p> <p>Internal arrangements for the secure disposal of information through shredding.</p>

## 7.1 APPENDIX 2

		<p>Anycomms secure file transfer between HBC and its partner organisations.</p> <p>Business continuity arrangements in place covering availability of information systems.</p>
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CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				
	POSSIBLE				8
	HARDLY EVER				

RESPONSIBLE OFFICER	Claire McLaren
DIVISION	Corporate Services
DEPARTMENT	Chief Executives
DATE OF ASSESSMENT	May 2019

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Business continuity plan in place.	Develop a cyber-crime business continuity plan	Claire McLaren	September 2020
DPS identified improvements made.	Implement the improvement plan from the last Data Security and Protection (DPS) Toolkit submission.	Claire McLaren	March 2020

## 7.1 APPENDIX 2

<b>RISK TITLE:</b>	<b>Information Technology</b> - Failure to provide a resilient, flexible and responsive ICT infrastructure leading to ineffective service delivery or the loss of services.	
<b>DETAILED DESCRIPTION OF CURRENT RISK:</b>		
<b>CAUSES</b> - what could make it happen?	<b>IMPLICATIONS</b> - what impact would it have if it did?	<b>EXISTING INTERNAL CONTROLS</b> – what are we already doing to reduce the likelihood and/or impact of it happening?
Out of date equipment, software and technology.  Lack of robust disaster recovery, business continuity and cyber-crime plans.  Environmental threats.  Lack of CICT staff knowledge and expertise.  Lack of general ICT knowledge and expertise of all staff.  Poor user awareness of threats.  Failure to protect our ICT assets.  Poor contract management of outsourced ICT service and/or collapse of provider.  Lack of suitable ICT provider.	Negative impact on productivity and availability of services.  Failure to ensure security of personal data.  Failure to comply with legislation.	Relevant information security policies and training in place.  8 Weekly Cyber Security meetings with NPS which highlight any potential threats to the network  Work From Anywhere (WFA) project to introduce a solution to support staff without mobile devices and provide Business Continuity options.  Self-help/training videos on intranet support staff 24/7  Monthly Operations Board meetings with NPS to monitor Contract and Service issues  Dedicated and skilled CICT Team  Microsoft office buyout to avoid excessive increase in IT costs  Quarterly Partnership Board - manages contract at strategic level

## 7.1 APPENDIX 2

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				
	POSSIBLE				8
	HARDLY EVER				

<b>RESPONSIBLE OFFICER</b>	Claire McLaren
<b>DIVISION</b>	Corporate Services
<b>DEPARTMENT</b>	Chief Executives
<b>DATE OF ASSESSMENT</b>	May 2019

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
IT Strategy in place with appropriate risk register.	Develop an IT Strategy for the Council (links to Digital Strategy)	Claire McLaren	December 2019
	Develop an IT Risk register	Claire McLaren	December 2019
Clear guidance for the introduction of new devices.	Prepare Business Case model for the introduction of new devices	Claire McLaren	December 2019

## 7.1 APPENDIX 2

<b>RISK TITLE:</b>	<b>Children and young people</b> - Failure to improve life chances, provide opportunities for education for children and young people particularly those whose circumstances make them vulnerable to poor outcomes
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<b>DETAILED DESCRIPTION OF CURRENT RISK:</b>		
<b>CAUSES</b> - what could make it happen?	<b>IMPLICATIONS</b> - what impact would it have if it did?	<b>EXISTING INTERNAL CONTROLS</b> – what are we already doing to reduce the likelihood and/or impact of it happening?
<p>Failure to promote life chances for a child or young person due to:</p> <ul style="list-style-type: none"> <li>• Lack of investment and/or public sector cuts impacting upon capacity of schools, health services and local authorities to deliver services that meet need and improve life chances.</li> <li>• Lack of educational opportunities</li> <li>• Lack of access to community health services</li> <li>• Lack of opportunities to develop life skills</li> </ul>	<p>Ineffective support and opportunities for children can result in significant implications for the future life chances, increasing the risk of them being dependent on the state throughout their adult life, for example:</p> <ul style="list-style-type: none"> <li>- Worklessness</li> <li>- Mental health needs</li> <li>- Drug and alcohol dependency</li> <li>- Entering the criminal justice system.</li> </ul>	<ul style="list-style-type: none"> <li>• Education Improvement Strategy</li> <li>• Child and Family Poverty Plan</li> <li>• 0-19 service and pathways</li> <li>• Early help offer</li> <li>• Using all opportunities to influence policy makers on impact of austerity for children and young people in Hartlepool.</li> </ul>

<b>CURRENT RISK ASSESSMENT:</b>					
<b>RISK MATRIX</b>		<b>IMPACT</b>			
		<b>NEGLIGIBLE</b>	<b>MINOR</b>	<b>MAJOR</b>	<b>CRITICAL</b>
<b>LIKELIHOOD</b>	<b>ALMOST CERTAIN</b>				
	<b>PROBABLE</b>			9	
	<b>POSSIBLE</b>				
	<b>HARDLY EVER</b>				

<b>RESPONSIBLE OFFICER</b>	Sally Robinson
<b>DIVISION</b>	Children's and Joint Commissioning Services
<b>DEPARTMENT</b>	Children's and Joint Commissioning Services
<b>DATE OF ASSESSMENT</b>	2 May 2019

## 7.1 APPENDIX 2

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Education Improvement Strategy	Implement EIS Ongoing support to schools via School Improvement Strategy	Amanda Whitehead	March 2020
SEND Improvement Plan	Review of governance arrangements Implementation of SEND improvement Plan	Danielle Swainston	March 2020
Health and Wellbeing Strategy	Implement Starting Well (Health and Wellbeing Strategy) 0-19 pathways regularly reviewed	Dr Pat Riordan	March 2020
Early Help offer	Implement Integrated Early Help plan Implement Workforce programme for Early Help workforce	Jane Young	March 2020
Work across partners to reduce duplication and maximise effective use of resources.	Implement opportunities for joint commissioning, collaboration and shared services	Departmental Management Team	March 2020

## 7.1 APPENDIX 2

<b>RISK TITLE:</b>	<b>Drugs and Alcohol</b> - Failure of the Drugs and Alcohol addiction services to prevent , treat and provide recovery for those with substance misuse problems in Hartlepool
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<b>DETAILED DESCRIPTION OF CURRENT RISK:</b>		
<b>CAUSES</b> - what could make it happen?	<b>IMPLICATIONS</b> - what impact would it have if it did?	<b>EXISTING INTERNAL CONTROLS</b> – what are we already doing to reduce the likelihood and/or impact of it happening?
<ul style="list-style-type: none"> <li>Failure to break intergenerational cycles of drug and alcohol misuse in Hartlepool</li> <li>Failure of the service to fully engage with the at a risk population</li> <li>Failure of the service to deliver an evidenced based model of treatment and addiction recovery</li> <li>Failure to increase capacity, resources and expertise to meet the level of need</li> </ul>	<ul style="list-style-type: none"> <li>Continuing increase in the prevalence of substance misuse in Hartlepool leading to Increased prevalence of ACEs, children suffering significant harm and crime</li> <li>At risk population do not receive appropriate levels of treatment and behavioural support with increasing numbers failing to achieve a sustained recovery</li> <li>Increased incidence of drug related deaths.</li> </ul>	<ul style="list-style-type: none"> <li>Health and Wellbeing Board</li> <li>Safer Hartlepool Partnership</li> <li>Systematic review of Drug Related Deaths.</li> <li>0 to 19 service and pathways</li> </ul>

<b>CURRENT RISK ASSESSMENT:</b>					
<b>RISK MATRIX</b>		<b>IMPACT</b>			
		<b>NEGLIGIBLE</b>	<b>MINOR</b>	<b>MAJOR</b>	<b>CRITICAL</b>
<b>LIKELIHOOD</b>	<b>ALMOST CERTAIN</b>				
	<b>PROBABLE</b>			9	
	<b>POSSIBLE</b>				
	<b>HARDLY EVER</b>				

<b>RESPONSIBLE OFFICER</b>	Dr Pat Riordan
<b>DIVISION</b>	Children's and commissioning
<b>DEPARTMENT</b>	Public health
<b>DATE OF ASSESSMENT</b>	May 2019

## 7.1 APPENDIX 2

<b>ADDITIONAL CONTROLS TO BE PUT IN PLACE:</b>			
<b>ADDITIONAL CONTROL</b>	<b>WHAT NEEDS TO BE DONE? (ACTION)</b>	<b>LEAD OFFICER</b>	<b>DUE DATE</b>
Re commission the clinical treatment service	Develop a new service specification	Dr Pat Riordan	July 19
Transform the in house using best evidence of clinical and cost effectiveness	Develop a new SLA. Employ expert advice on a consultancy basis	Dr Pat Riordan	July 19
Establish a new strategic governance structure across the services	Establish a multiagency group to monitor KPIs, SUIs, near misses and complaints and improvement of health outcomes	Dr Pat Riordan	Sept 19
Increase capacity within the in house service for children and adults	Urgent recruitment of interim support workers	Dr Pat Riordan	June19
The development of a strategy for substance misuse with clear vision, objectives and outcomes identified	Implement the strategy to be performance monitored and managed by new strategic governance group	Dr Pat Riordan	Sept 19



## 7.1 APPENDIX 2

<b>RISK TITLE:</b>	<b>Safeguarding children</b> - Failure to protect children and young people from harm and promote their welfare
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<b>DETAILED DESCRIPTION OF CURRENT RISK:</b>		
<b>CAUSES</b> - what could make it happen?	<b>IMPLICATIONS</b> - what impact would it have if it did?	<b>EXISTING INTERNAL CONTROLS</b> – what are we already doing to reduce the likelihood and/or impact of it happening?
<p>Failure to protect a child or young person and promote their welfare due to:</p> <ul style="list-style-type: none"> <li>• Increased demand and consequent capacity within the services to respond.</li> <li>• Failing in policies/ procedures</li> <li>• Failure in partnership working</li> <li>• Lack of the required skills, knowledge, expertise and resources within the service to meet need.</li> </ul>	<ul style="list-style-type: none"> <li>• Ineffective safeguarding leaves children at risk of harm.</li> <li>• Children and young people do not experience safe, consistent, stable care, leading to increased risks of poor adult outcomes.</li> <li>• Significant implications for reputation of the organisation.</li> </ul>	<ul style="list-style-type: none"> <li>• Policies and procedures in place</li> <li>• Practice manual regularly reviewed and updated</li> <li>• Performance Management and Quality assurance cycle</li> <li>• Management oversight and supervision</li> <li>• Workforce Development programme</li> <li>• Staff Briefings</li> <li>• HSSCP</li> <li>• Tees Procedure meetings</li> <li>• Effective commissioning arrangements with clear service specifications and robust and regular monitoring and review</li> </ul>

## 7.1 APPENDIX 2

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				
	POSSIBLE				8
	HARDLY EVER				

<b>RESPONSIBLE OFFICER</b>	Jane Young
<b>DIVISION</b>	Children and Families
<b>DEPARTMENT</b>	Children's and Joint Commissioning Services
<b>DATE OF ASSESSMENT</b>	2 May 2019

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Leaders and members have improved oversight and, therefore, able to prioritise service	Strengthen the visibility of performance management reporting and risk management.	Jane Young	September 2019
Hartlepool and Stockton – on – Tees safeguarding children's board (HSSCP)	Implementation of new arrangements – sub groups in place alongside engine room	Jane Young / Danielle Swainston	March 2020
Continuous improvement in assessment planning, implementation and review of the needs of children and young people	Performance management in place with audits cycle to review practice  Managers oversee timescales and quality of APIR process	Jane Young	December 2019

## 7.1 APPENDIX 2

<b>RISK TITLE:</b>	<b>Waste Management</b> - Council are unable to collect and dispose of all household waste within existing financial resources.
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<b>DETAILED DESCRIPTION OF CURRENT RISK:</b>		
<b>CAUSES</b> - what could make it happen?	<b>IMPLICATIONS</b> - what impact would it have if it did?	<b>EXISTING INTERNAL CONTROLS</b> – what are we already doing to reduce the likelihood and/or impact of it happening?
<ul style="list-style-type: none"> <li>Increased costs relating to waste disposal.</li> <li>Provision of new contract or re-negotiation of existing contract.</li> <li>Lack of contractors willing to remove certain waste products.</li> <li>Current Government consultation relating to waste and future implications of findings.</li> <li>Existing plant/equipment insufficient to meet current needs.</li> </ul>	<ul style="list-style-type: none"> <li>Financial.</li> <li>Reputational.</li> <li>Legal.</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing discussions with existing contractor.</li> <li>Procurement options being considered.</li> <li>Consultation response sent to Government on their proposed new strategy and the possible implications for Councils that may need further consideration.</li> <li>Contractors appointed to produce long term strategy and business case for Tees Valley future waste provision.</li> <li>Waste Management and Officer Groups established across Tees Valley.</li> </ul>

## 7.1 APPENDIX 2

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE			9	
	POSSIBLE				
	HARDLY EVER				

RESPONSIBLE OFFICER	Tony Hanson
DIVISION	Environment and Neighbourhoods
DEPARTMENT	Regeneration and Neighbourhoods
DATE OF ASSESSMENT	April 2019

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Look at all available options for a new recycling contract	Options paper to be produced for CMT to determine the details of the proposed tender documents to be published as part of the impending procurement exercise.	Tony Hanson	June 2019

## 7.1 APPENDIX 2

<b>RISK TITLE:</b>	<b>Business Continuity</b> - Failure to provide Council services as a result of disruption to the normal day to day activities
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<b>DETAILED DESCRIPTION OF CURRENT RISK:</b>		
<b>CAUSES</b> - what could make it happen?	<b>IMPLICATIONS</b> - what impact would it have if it did?	<b>EXISTING INTERNAL CONTROLS</b> – what are we already doing to reduce the likelihood and/or impact of it happening?
<ul style="list-style-type: none"> <li>• Disruption to normal day-to-day activities as a result of a major incident affecting employees, accommodation, IT services or vehicles.</li> <li>• Service delivery partners withdrawing contracted services.</li> <li>• Pandemic Flu.</li> <li>• Major Incident declared affecting the wider community of the town.</li> </ul>	<ul style="list-style-type: none"> <li>• Reputation.</li> <li>• Legal.</li> <li>• Financial.</li> <li>• Health and Safety</li> </ul>	<ul style="list-style-type: none"> <li>• Business Continuity group coordinating arrangements for reviewing, planning and testing.</li> <li>• Business Continuity plans in places for services and functions.</li> <li>• Exercising of Business Continuity plans to ensure fit for purpose.</li> </ul>

## 7.1 APPENDIX 2

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				
	POSSIBLE				8
	HARDLY EVER				

RESPONSIBLE OFFICER	Corporate Management Team
DIVISION	
DEPARTMENT	All
DATE OF ASSESSMENT	April 2019

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
To ensure that there is a corporate responsibility to business continuity, CMT will take overall control of this risk.	This will be monitored by CMT as part of their agenda and will be added as a quarterly item	Corporate Management Team	July 2019

# FINANCE AND POLICY COMMITTEE

27 August 2019



**Report of:** Director of Finance & 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 & 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, Appendix C.**

**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  
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Hartlepool  
TS24 8AY  
Email [chris.little@hartlepool.gov.uk](mailto:chris.little@hartlepool.gov.uk)  
Tel: 01429 523003

Sign Off:-

Chief Executive	<input type="checkbox"/>
Director of Policy and Finance	<input type="checkbox"/>
Chief Solicitor	<input type="checkbox"/>

## 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 Companies invited including location	Details of Bids received	Basis of award decision if not lowest/highest price payable / receivable	Outcome of contract letting procedures	Previous Provider / Location
26 02 19	Shades Hotel Repair Work DN375385	3 specialist companies were invited to bid for the repairs to the structure and fabric of the existing building	6 weeks	R&N	Datim Building Contractors Ltd, Cramlington  Historic Property Restoration, North Shields  MGM Ltd, Gateshead	Datim Building Contractors Ltd  Historic Property Restoration  MGM Ltd	100% Price and passing Selection questionnaire	Historic Property Restoration	N/A
27 02 19	Support for People Living with Dementia DN389864	The aims and objectives of the service include provision of a pathway of support for people living with a dementia from early onset through to advanced stage dementia.	3 years (plus 2 x 12 month optional extensions )	C&A	The Hospital of God, Hartlepool	The Hospital of God	Most Economically Advantageous Tender	The Hospital of God	The Hospital of God, Hartlepool
12 03 19	Ride on Mowers DN390327	6 No. Ride on Movers	N/A	R&N	Direct Award from TPPL & NEPO Ground Maintenance & Plant Equipment Framework to Company Ranked first. Lloyds Limited, Bishop Auckland	Lloyds Limited	Lowest Price	Lloyds Limited	N/A

12 03 19	Refuse Collection Vehicles DN390076	6 No. Refuse Vehicles	N/A	R&N	28 companies were invited form the TPPL & NEPO HGV & Specialist Vehicles Framework Contract	CP Davidson, Lancashire  Farid Hillend Engineering Limited	Lowest Price	Farid Hillend Engineering Limited	N/A
15.03.19	Occupational Health Services DN389498	To provide occupational health services to Hartlepool Borough Council's employees	3 Years plus a 2 year optional extension	CEX	Durham County Council, Durham  Newcastle Premier Health, Newcastle  North Tees & Hartlepool NHS Trust, Hartlepool	Durham County Council	Most Economically Advantageous Tender	Durham County Council	Durham County Council
15.03.19	Physiotherapy Services DN389087	To provide physiotherapy services to Hartlepool Borough Council's employees	3 Years plus a 2 year optional extension	CEX	Active Physiocare, Hartlepool  Body2fit, Wynyard  K2 Physiocare, Hartlepool  Paul Gough, Hartlepool	K2 Physiocare	Most Economically Advantageous Tender	K2 Physiocare	K2 Physiocare
26 03 19	Focus on Health DN395885	To empower Hartlepool's hearing loss community to improve their physical and emotional wellbeing	3 years	Adults	Child Deaf Youth Project, Middlesbrough  Going for Independence, Saltburn  Hartlepool Deaf Centre, Hartlepool	Hartlepool Deaf Centre	Most Economically Advantageous Tender	Hartlepool Deaf Centre	Hartlepool Deaf Centre, Hartlepool
04.04.19	The Way of St Hild DN363231	Design and delivery of a digital interpretative trail for the 'The Way of	In perpetuity	R&N	Fish in a Bottle, Warwickshire	Fish in a Bottle	Most Economically Advantageous Tender	Fish in a Bottle	N/A

		St Hild' – A Pilgrimage from Hartlepool to Whitby			Skignz, Middlesbrough  Spearhead, Middlesbrough  Sprytar, North Yorkshire				
03.06.19	Seaton Carew Park Tennis Courts DN407611	Refurbishment of the Tennis courts, including surfacing and fencing.	10 weeks	R&N	Brambledown Landscape Services Ltd, Brandon Village, Durham  Cleveland Land Services Ltd, Guisborough  Fosse Contracts Ltd, Leicester  John Hellens (Contracts), Washington	Brambledown Landscape Services Ltd,  Cleveland Land Services Ltd,  Fosse Contracts Ltd,  John Hellens (Contracts),	100% Price and passing Selection Questionnaire	Fosse Contracts Ltd	N/A
07.06.19	Rossmere Park Improvement – Phase 2D (Pond) DN398125	Improvements to Rossmere Park Pond	N/A	R&N	Brambledown Landscape Limited, Durham  Cleveland Land Services, Guisborough  Dawson Landscape Limited, Hartlepool  Dearness Fencing & Landscaping, Durham  Seymour Civil Engineering	Dawson Landscape Limited  Dearness Fencing & Landscaping  Seymour Civil Engineering Contracts Limited	Most Economically Advantageous Tender	Dawson Landscapes	N/A

					Contracts Limited, Hartlepool				
19.06.19	Extension to Clavering Primary School DN403271	Appointment of a Contractor for a Single storey Extension to the Main Hall at the school	2 months	R&N	Ashbrook Construction Ltd, Billingham  Cole Construction NE Ltd, Hartlepool  Gus Robinson Developments Ltd, Hartlepool  LIVECO Ltd. t/a VEST Construction Ltd, Bishop Auckland  Wharton Construction Ltd, Darlington	Cole Construction NE Ltd.  LIVECO Ltd. t/a VEST Construction Ltd.  Wharton Construction Ltd	100% Price and passing Selection Questionnaire	Wharton Construction Ltd	N/A

**Procurements Exempted from Council Contract Procedure Rules****Exemption Information**

Dept.	Service Unit	Company Name	Company based at	Duration	Description	Approval
R&N	Building Design & Construction	Hilti (GB) Ltd	Manchester	One off Procurement	On Track software package designed for tradesmen, team leaders and department managers which report on the movement of their assets.	Approved by Tony Hanson, Hayley Martin, Denise McGuckin and Chris Little on 04.03.2019
C&A	Commissioned Services	National Development Team for Inclusion	Bath	01/04/2019 – 30/09/2020	Community Lead Support Programme	Approved by Danielle Swainston, Chris Little, Hayley Martin and Jill Harrison on 08.03.2019
C&A	Childrens Commissioning	Kryptic Media Limited	Sheffield	14/03/2019 – 31/07/2019	Skills Academy Record and Release Programme	Approved by Danielle Swainston, Chris Little, Hayley Martin and Sally Robinson 08.03.2019
R&N	Planning and Development Services	Capita Building Services Limited	Darlington	18/03/2019 – 26/07/2019	Consultant Planning Officer	Approved by Andrew Carter, Hayley Martin, Chris Little and Denise McGuckin on 13.03.2019
CEX	Human Resources	NEREO	Newcastle	01/04/19 - (Ongoing)	Online Disclosure and Barring Service	Approved by Claire McClaren, Chris Little and Hayley Martin on 20.03.2019
C&A	Adult & Community Services	University of Teesside	Middlesbrough	One off Procurement 02.04.2019	Proposed Action plan and new model of swimming operations for School needs	Approved by Gemma Ptak, Jill Harrison, Hayley Martin and Chris Little on 27.03.2019
R&N	Transport and Infrastructure	Lynas Engineers	Redcar	08/04/2019 - 06/05/2019	Design for the creation of a grade separated junction at the northern Elwick A19 junction.	Approved by Tony Hanson, Denise McGuckin, Hayley Martin and Chris Little on 04.04.2019

R&N	Transport and Infrastructure	Lynas Engineers	Redcar	08/04/2019 - 30/06/2019	Highways Inspections for 6 zones	Approved by Tony Hanson, Denise McGuckin, Hayley Martin and Chris Little on 04.04.2019
C&A	Children's & Joint Commissioning	Alliance Psychological Services	Stockton	20.05.2019 - 19.05.2020	Psychological therapies to vulnerable children and young people and/or families who may be at risk of, or who are involved with criminal activity.	Approved by Jane Young, Chris Little, Sally Robinson and Chris Little on 07.05.2019
R&N	Environmental Services - Fleet Management	Overton (UK) Limited	Lincoln	One off Procurement	Purchase of a Trailed Beach Cleaner	Approved by Tony Hanson, Hayley Martin, Denise McGuckin, Chris Little on 16.05.2019
C&A	Children's & Joint Commissioning	Changing Futures North East	Hartlepool	01.07.19 - 30.06.2020	Signs of Safety - Mentors supporting safety networks around Hartlepool's vulnerable families.	Approved by Danielle Swainston, John Morton, Hayley Martin and Sally Robinson on 16.05.2019
C&A	Children's and Joint Commissioning	Affinity Workforce Solutions (Trading as CER)	Newcastle	01/04/2019 - 31/03/2020	Provision of Teachers with the appropriate skills and experience to tutor our most vulnerable children and young people, including those who are Looked After.	Approved by Danielle Swainston, Chris Little, Hayley Martin and Sally Robinson on 11.06.2019



**Extension Information**

Dept.	Service Unit	Company Name	Company based at	Duration	Description	Approval
C&A	Commissioned Services	Four Seasons Healthcare	Darlington	01.06.2019 – 31.05.2020	Extension to the Rehabilitation, Reablement & Transitional Care in a Care Home Contract for 12 Months	Approved by Danielle Swainston, Chris Little, Hayley Martin and Jill Harrison on 21.02.2019
C&A	Childrens Commissioning	Changing Futures North East	Hartlepool	01.04.2019 – 30.06.2019	3 month extension to the Mentoring Services Contract	Approved by Danielle Swainston, Chris Little, Hayley Martin & Sally Robinson on 27.02.2019
C&A	Preventative & Community Based Services	West View Advice and Resource Centre	Hartlepool	Extended dates 01.04.2019 - 31.03.2020	1 year extension to the Community Hub North and Financial Advice and Support Services Contract	Approved by Gemma Ptak, Chris Little, Jill Harrison and Hayley Martin on 04.03.2019
C&A	Commissioned Services	North Tees and Hartlepool Foundation Trust (NTHFT)	Stockton on Tees	01.04.2019 - 30.06.2019	Smoking Cessation Services	Approved by Danielle Swainston, Chris Little, Hayley Martin 07.03.2019