

FINANCE AND POLICY COMMITTEE

AGENDA



Monday 11 November 2019

at 10.00 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 14 October 2019.
- 3.2 To receive the minutes of the meeting of the Health and Wellbeing Board held on 1 July 2019.
- 3.3 To receive the minutes of the meeting of the Safer Hartlepool Partnership held on 26 July 2019.

4. BUDGET AND POLICY FRAMEWORK ITEMS

None.

5. KEY DECISIONS

- 5.1 Sale of Land at Hart - *Director of Regeneration and Neighbourhoods*
- 5.2 Financial Advice and Guidance Contract - *Director of Adult and Community Based Services*



6. OTHER ITEMS REQUIRING DECISION

- 6.1 Filling the Holiday Gap Scheme 2018/2019 Update and Proposals for 2019/2020
- *Director, Children's and Joint Commissioning Services, Director of Public Health*

7. ITEMS FOR INFORMATION

- 7.1 Corporate Complaints Annual Monitoring Report 2018/19- *Assistant Director, Corporate Services*
- 7.2 Housing Revenue Account (HRA) Strategic Financial Management Report - as at 30th September 2019- *Director of Regeneration and Neighbourhoods and Director of Finance and Policy*
- 7.3 Strategic Financial Management Report - as at 30th September 2019 - *Corporate Management Team*

8. ANY OTHER BUSINESS WHICH THE CHAIR CONSIDERS URGENT

FOR INFORMATION

Future meeting dates –

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

14 OCTOBER 2019

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

Present:

Councillor Shane Moore (In the Chair)

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

Also Present: Edwin Jeffries, HJTUC

Officers: Hayley Martin, Chief Solicitor
Chris Little, Director of Finance and Policy
John Morton, Assistant Director, Finance and Customer Services
Denise McGuckin, Director of Regeneration and Neighbourhoods
Steve Hilton, Communications and Marketing Team
David Cosgrove, Democratic Services Team

47. Apologies for Absence

Councillor Dave Hunter.

48. Declarations of Interest

None.

49. Minutes of the meeting held on 30 September 2019

Received.

50. Minutes of the meeting of the Health and Wellbeing Board held on 1 July 2019

Received.

51. Local Council Tax Support 2020/21 *(Director of Finance and Policy)*

Type of decision

Budget and Policy Framework Decision.

Purpose of report

The report updated Members on the operation of the Local Council Tax Support (LCTS) scheme and the scheme's future financial risks associated with the Government's national welfare reforms and set out a proposed LCTS scheme for 2020/21.

Issue(s) for consideration

The Assistant Director, Finance and Customer Services outlined the background to the operation of the Council's 12% LCTS scheme which had been in place since 2014/15. The numbers of claimants in Hartlepool had decreased since June 2013 and in addition to 5000 pensioner households (a protected group under LCTS) there were around 8700 working age households in the town in receipt of this benefit. Collection of council tax from these households was more difficult but collection rates remained positive.

In determining the LCTS scheme for 2020/21, Members would need to agree a scheme that was financially viable and balanced providing sustainability in future year's schemes. Updated financial monitoring showed the retention of a 12% scheme would be sustainable. A LCTS Risk Reserve had been previously established to support the LCTS scheme and to provide one-off funding to manage the risk of an unexpected in-year increase in LCTS costs arising from increased caseloads. It was proposed to maintain this reserve at £0.3m to manage any in-year financial risks that may emerge.

The report recommended the continuation of the 12% scheme and it was highlighted that any alternative to the 12% scheme would need to be the subject of public consultation for a period of six weeks and therefore Members would need to make a decision on a potential alternative at this meeting to allow sufficient time for the consultation to be undertaken ahead of the statutory requirement to have the LCTS scheme in place and approved by Council before the end of the calendar year.

Members raised issues around the cut in the central government grant for administering the LCTS scheme, the LCTS Risk Reserve and collection of council tax debts payable under the scheme. The Assistant Director stated that the reserve would cover any 'shocks' to the system should the number of claimants suddenly rise, for example. Collection rates were good even though they were often limited by the DWP maximum attachment to benefits level of £3.70 per week. The cuts in the administration grant for

the scheme had been managed within the department through non-filling of vacancies and fixed term appointments. In terms of the management of the service, it was noted that there were already a number of vacancies in the service. Members discussed alternative options for the LCTS scheme for 2020/21 and the impact on the budget and overall Council Tax level.

The Director of Finance and Policy indicated that, as detailed in the report, the maximum recurring additional income from implementing a 20% scheme is £569,000. Additionally, the Director indicated that using the one of LCTS Risk Reserve would only provide one off funding and defer a budget deficit of £300,000 to 2021/22. It would also mean the Council had no funding to manage in-year increases in LCTS demand. The adverse impact of higher LCTS cuts would lead an increase in the number of 'stacked' Attachment of Benefits and the resulting risk of higher levels of irrecoverable Council Tax was also highlighted.

It was proposed and seconded that public consultation be undertaken on a LCTS Scheme of 12%, 14%, 16%, 18% and 20%.

Decision

1. That the future financial and administrative risks associated with the Local Council Tax Support scheme be noted;
2. That consultation be undertaken on a Local Council Tax Support scheme on the options of a 12%, 14%, 16%, 18% and 20% scheme and that the results be reported to a future meeting of the Committee prior to a recommendation being made to full Council.

52. Hartlepool Power Stations Detailed Emergency Planning Zone Redetermination *(Director of Regeneration and Neighbourhoods)*

Type of decision

Key Decision (test (ii)) Forward Plan Reference No. RN13/19.

Purpose of report

To report the change in the Radiation Emergency Preparedness and Public Information Regulations (REPPPIR) regulations which now places a duty of determining the Detailed Emergency Planning Zone (DEPZ) for the Power Station on the Local Authority.

Issue(s) for consideration

The Director of Regeneration and Neighbourhoods reported that the REPPPIR regulations had recently been updated and came into effect on 22nd May 2019. The new regulations now placed a duty for the determination of the DEPZ on the Local Authority. The Director stated that

it was proposed to utilise the Emergency Management Response Team to lead on the planning for the DEPZ along with the Emergency Planning Unit and the Cleveland Local Resilience Forum to complete the determination of the DEPZ by 22nd November 2019 at the latest. The Local Authority would then have a further 6 months to complete the update to the Off-Site Emergency Response Plan and provision of written confirmation to the operator and regulator by 22nd May 2020.

The Chair requested that a report be submitted to Members ahead of the submission to the regulator.

Decision

1. That the changes in the regulations and the increased expectation and timeframe placed on Local Authorities to comply with REPPIR 19 be noted.
2. That the Councils Emergency Management Response Team progresses the work on the Detailed Emergency Planning Zone (DEPZ) Off-Site Emergency Response Plan in line with Radiation Emergency Preparedness and Public Information Regulations (REPPIR) 2019.
3. That an update report is provided to Finance and Policy members prior to the submission of the Off-Site Emergency Response Plan to the regulator.

53. Reclamation of Stranton Cemetery Land *(Director of Regeneration and Neighbourhoods)*

Type of decision

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

Purpose of report

To seek approval to the proposed funding allocation to undertake the necessary works at Stranton, and to refer this proposal to Council for approval.

Issue(s) for consideration

The Director of Regeneration and Neighbourhoods reported that In 2016/17 52 number of allotment holders had to be relocated from Stranton to other allotment sites to allow for the expansion of cemetery land and provide future years provision of burial spaces at Stranton. Since 2018 the vacant allotment sites have remained empty and access has been restricted as the site has secured by a boundary fence.

However, in recent months the site has been a target for children and young adults which has resulted in fires at the site, damage to the boundary fence, anti-social behaviour, and reports of drug taking and alcohol being consumed in some of the old, abandoned allotment sheds. This has led to a number complaints from members of the public and local councillors.

Officers had liaised with specialist companies to help identify the urgent works required at the site to make it safe and had instructed that those works to commence, which would involve the removal of any hazardous waste and demolishing any out buildings that have been left on site. They would also re-secure the site by replacing any areas of fencing that had been damaged, or are missing, and these works would be funded from an existing service budget.

To fully reclaim the site and turn in from allotment land back into land that can be used for burial plots required a more intensive approach as the spoil waste will need to be removed and screened, before disposal. It was proposed to undertake a procurement exercise that would look to identify a suitable contractor who can undertake the necessary works. The estimated costs were detailed 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).

Members questioned if the area of land was subject to flooding as was the case with other parts of the cemetery and whether the full works to reclaim the land for cemetery use would involve all the land up to the backs of the houses in in Southbrooke Avenue with appropriate fencing installed. The Director stated that the flooding issue would be addressed when the land was prepared for cemetery use. In relation to the houses on Southbrooke Avenue, this could be looked at.

Members referred to the numbers of complaints about this land and its general condition. Had the land been in the ownership of a private owner or an allotment was in a similar condition, the Council would have been looking to take action against that owner/allotment holder some time ago; there was an element of double standards. The Director acknowledged the concerns expressed.

The meeting considered that it may be useful that once the land was cleared and secure that it be designated cemetery land and that notices on the land state such and that it was regularly patrolled. This was supported by the Chair.

Decision

1. That approval be given to the undertaking of a procurement exercise and associated costs as detailed in the Confidential Appendix to the

report which 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).

2. That a further report, for information, be brought back to Finance and Policy Committee confirming the exact costs of these works once the procurement exercise and the necessary works had been completed.

54. Any Other Items which the Chairman Considers are Urgent

None.

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

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

Minute 56 – Tees Valley Future Waste Treatment and Disposal – 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).

56. Tees Valley Future Waste Treatment and Disposal (*Director of Regeneration and Neighbourhoods*) 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).

Type of decision

Key decision Reference RN14/19. Key test (i) and (ii) apply.

Purpose of report

This report sought approval to:

- Adopt the Outline Business Case for the future treatment of municipal residual waste on behalf of the five Tees Valley (TV) Councils (as set out in Appendix 2 to the report);
- Enter into an Inter-Authority Agreement (IAA), between the five Tees Valley authorities in respect of the TV municipal residual waste treatment project (as set out in Appendix 3 to the report); and
- Note the Terms of Reference for the Project Delivery Group (as set out in Appendix 4 to the report).

Issue(s) for consideration

The Director of Regeneration and Neighbourhoods reported on the Outline Business Case (OBC) which had been developed to address the future treatment of municipal residual waste (waste remaining after recycled material has been removed) collected by the Tees Valley Councils when the current contract(s) expire in March 2025. Details are set out in the exempt section of the minutes.

Decision

The detailed decisions are set out in the exempt section of the minutes.

The meeting concluded at 10.55 am.

H MARTIN

CHIEF SOLICITOR

PUBLICATION DATE: 24 OCTOBER 2019

HEALTH AND WELLBEING BOARD

MINUTES AND DECISION RECORD

1 July 2019

The meeting commenced at 10 a.m. in the Civic Centre, Hartlepool

Present:

Councillor Moore, Leader of Council (In the Chair)

Prescribed Members:

Elected Members, Hartlepool Borough Council – Councillors Buchan, C Richardson (as substitute for Councillor Thomas) and Ward
Representatives of Hartlepool and Stockton-on-Tees Clinical Commissioning Group – Dr Nick Timlin and Nicola Bailey
Director of Children's and Joint Commissioning Services, Hartlepool Borough Council – Sally Robinson
Director of Adult and Community Based Services, Hartlepool Borough Council, Jill Harrison
Representatives of Healthwatch - Margaret Wrenn

Other Members:

Assistant Director of Joint Commissioning, Hartlepool Borough Council – Danielle Swainston
Representative of Cleveland Police – Steven Graham
Representative of Tees, Esk and Wear Valley NHS Trust – Dominic Gardner
Representative of North Tees and Hartlepool NHS Trust – Julie Parkes (as substitute for Dr Dwarakanath)
Representative of GP Federation – Fiona Adamson
Representative of Headteachers – Julie Thomas
Observer – Statutory Scrutiny Representative, Hartlepool Borough Council - Councillor Hall

Also in attendance:-

Councillor Harrison, Hartlepool Borough Council
Cath Hitchen, SEND Professional Adviser, Department for Education

Hartlepool Borough Council Officers:

Craig Blundred, Deputy Director of Public Health
Joan Stevens, Statutory Scrutiny Manager
Amanda Whitaker, Democratic Services Team

1. Apologies for Absence

Elected Member, Councillor Thomas
Director of Public Health, Hartlepool Borough Council – Dr Pat Riordan

Denise McGuckin, Director of Regeneration and Neighbourhoods
Representatives of Healthwatch - Ruby Marshall
Representative of the NHS England – Dr Tim Butler
Representative of Hartlepool Voluntary and Community Sector – Tracy Woodall

2. Declarations of interest by Members

Councillor Ward declared a personal interest as a Director of a Wellbeing Company.

3. Minutes

The minutes of the meeting held on 4 March 2019 were confirmed.

4. Review of the Role and Purpose of the Health and Wellbeing Board *(Director of Public Health)*

The report set out proposals with regard to the strategic approach to improving Health and Wellbeing outcomes. The Board was requested to review the following proposals:

- There is a need to identify the top five issues that have the most significant impact on the health and wellbeing of the population of Hartlepool.
- That we determine the key health and wellbeing outcomes which we seek to achieve in relation to these issues.
- We jointly agree to the development of five multi-agency workstreams to deliver the high impact outcomes which we seek.
- The five workstreams are co-owned and therefore delivered in partnership. In order to do this the Health and Wellbeing Board needs to develop a sense of common purpose and commitment to the five workstreams.
- A strategic delivery plan supporting these workstreams is agreed by the Health and Wellbeing Board.
- The delivery plan identifies the measures of success for the workstreams including key outcomes; KPIs and ownership of the deliverables. This should be reported to the Health and Wellbeing Board on a quarterly basis to monitor progress.
- The Health and Wellbeing Board more effectively engages with the public in Hartlepool in determining what the important issues are and also in monitoring success in delivering the outcomes.

Agreement was sought to a workshop being scheduled to address the specific issues. The Chair encouraged all Board Members to attend the workshop.

Decision

The Board approved:

- The proposed review of the role and purpose of the Board.
- That a workshop take place in September in order to agree the way forward.

5. Face The Public Event - Feedback *(Director of Public Health)*

Board Members were advised that the Health and Wellbeing Board's Face the Public Event for 2019 had been held on the 11th March 2019 and had focused on 'starting well' as a priority outcome identified within the Director of Public Health's Annual report and Joint Health and Wellbeing Strategy (2018 – 2025). The event had been attended by 29 representatives from a variety of partner organisations and residents, with a number of questions explored as detailed in the report. A summary of comments made at the event was appended to the report.

Decision

- (i) The Board noted feedback from the Face the Public Event.
- (ii) It was agreed that the outcomes of the Face the Public Event be utilised to inform the review of priorities going forward as part of the refresh of the Joint Health and Wellbeing Strategy and Healthy Weight Strategy.

6. Update on the Healthy Weight Strategy and Proposal to Develop a Whole Systems Approach to Obesity Prevention *(Director of Public Health)*

The Board was reminded that in August 2014, the Board had selected child obesity as a priority and had requested that work start on developing a Childhood Obesity Strategy. A town wide obesity conference was held in February 2015 and following this, the Healthy Weight Strategy had been developed which had been approved by the Board in September 2015. Key successes to date were set out in the report.

It was recognised that Partners needed to work differently to ensure that the prevalence of obesity in the town was reduced. It was proposed:-

- That the priorities in the Healthy Weight Strategy are refreshed.
- That adopting the Whole Systems approach to obesity prevention is fundamental to our aim to decrease the number of overweight and obese people in the town
- That the leadership of the Healthy Weight Strategy reflects the requirements of the Whole Systems approach and recognises the strong leadership provided through the local authority.

Board Members were advised that the next steps would be a second workshop in July to consider mapping the provision of services in the Borough, setting up a system network to coordinate the work and the development of a social movement to support the aims of the project.

Following presentation of the report, the Director of Children's and Joint Commissioning Services highlighted links to the Child Measurement Programme and concerns which she had received relating to the way the Programme is implemented. The Deputy Director of Public Health acknowledged issues associated with the wording of the letters sent to parents.

Decision

- (i) The Board approved the Whole Systems Approach to obesity prevention.
- (ii) The Board approved bringing the Healthy Weight Strategy in line with the Whole Systems Obesity proposals.

7. Developmental Of Neurodevelopmental Pathway

(Director of Children's and Joint Commissioning Services and Hartlepool and Stockton-on-Tees Clinical Commissioning Group)

The report shared with Board Members the development of a neurodevelopmental pathway which would replace the existing ASD pathway. Board Members were presented with background information including estimated prevalence of ASD, referral numbers and waiting times for diagnosis. An expert reference group had been established which had reviewed parental consultation and best practice in other areas to draft a new model. The Hartlepool and Stockton model had been developed and was appended to the report. A task and finish group had been established in Hartlepool to develop and trial the pathway. The work to date was set out in the report. It was noted that the Group would continue to develop the pathway and trial the different elements of the pathway and report to the Board in 6 months on progress.

Board Members discussed issues arising from the report and Partners spoke in positive terms in relation to the pathway. An Elected Member highlighted that the report referred to five times as many boys being diagnosed as girls. The Tees, Esk and Wear Valley NHS Trust representative undertook to verify with clinicians and report back to the Board. The Chair agreed to circulate a copy of the response.

Decision

- (i) The development of a neurodevelopmental pathway was noted.
- (ii) It was agreed that a progress report is presented to the Health and Wellbeing Board in six months.

8. **SEND (Special Educational Needs and Disabilities) Inspection Revisit and SEND Improvement Plan** (*Director of Children's and Joint Commissioning Services*)

The Board was advised that the joint local area SEND Inspection had identified serious weaknesses and the local area had been required to produce a written statement of action. A SEND revisit had been undertaken in January 2019 to review progress against the serious weaknesses (the letter from Ofsted and CQC was appended to the report and outlined the findings from the revisit). Inspectors had been sufficiently assured in the following two areas that sufficient progress had been made:

- a) Weaknesses in providing the clear and timely information, advice and support that families need.
- b) Weaknesses in the monitoring of the effectiveness of services in improving outcomes for children and young people who have special educational needs and/or disabilities.

However inspectors were not assured in the remaining two areas:

- c) Inconsistencies in the timeliness and effectiveness of the local area's arrangements for identifying and assessing children and young people's special educational needs and/or disabilities.
- d) Weaknesses in the strategic joint commissioning of services for children and young people who have special educational needs and/or disabilities.

The local area had been required to submit an Improvement Plan in response to the revisit findings to the DfE (appended to the report). During the re-visit, inspectors had raised concerns that the governance arrangements were not robust and leaders were not holding each other to account to ensure swift and timely progress on the areas of weaknesses. A review of the governance arrangements had been undertaken with a review of the terms of reference for the Strategic SEND Board (appended to the report) and the Operational SEND group (appended to the report).

It was highlighted that due to the cross cutting nature of SEND it was important that the Board hold all organisations to account for the implementation of the SEND Code of Practice and delivery of the Improvement Plan. It was therefore proposed that the Board is the governing board for the implementation of the SEND strategy.

Following presentation of the report, the Assistant Director of Joint Commissioning responded to the Chair in terms of plans to address quality assurance issues and assured Board Members that reports would be submitted to the Board. The role of the Board was reiterated and the Chair encouraged all Board Members to fulfil their responsibilities.

Decision

- (i) The Board noted the SEND revisit findings and the SEND improvement plan.
- (ii) That Board approved the revised SEND governance arrangements with the Health and Wellbeing Board being the overarching governing body holding all partners to account. This includes terms of reference for Operational and Strategic SEND groups.

9. Better Care Fund 2018/19: Q4 Performance Update (*Director of Adult & Community Based Services*)

The report provided the background to the Better Care Fund reporting arrangements and summarised the National Conditions and performance measures. Performance reports were submitted to NHS England on a quarterly basis. The Q4 return covering the period January – March 2019 had been submitted in April 2019 and had confirmed that all national conditions continued to be achieved. An analysis of performance data had also been provided which was summarised in the report.

Decision

The Board retrospectively approved the Hartlepool Better Care Fund Quarter 4 return and noted the current positive position in relation to performance, with three of the four key indicators, and a dramatic improvement in delayed transfers of care, achieved.

10. Verbal Update/Presentations (*Hartlepool and Stockton-on-Tees Clinical Commissioning Group*)

The Board received updates from the Chief Officer, Hartlepool and Stockton-on-Tees Clinical Commissioning Group (CCG) in relation to the following:-

- (i) Whorlton Hall – Board Members were informed verbally of the background to the current complex police investigation arising from the BBC Panorama's undercover filming which appeared to show abuse at Whorlton Hall. The Chief Officer explained the role of the CCG and referred to the co-ordination of commissioning of alternative accommodation for the residents of Whorlton Hall. The support received from the Tees, Esk and Wear Valley Trust was acknowledged and individuals were continuing to be supported in their new placements. It was highlighted that the situation was very complex and difficult for all concerned. An update report would be submitted to a future meeting of the Board.

Board Members discussed issues arising from the update. It was highlighted that Cygnet Health Care, who owned Whorlton Hall, also owned a care home in Hartlepool. Following clarification sought from Board Members, assurances were provided regarding safeguarding and review arrangements in that Home. The Director of Adult and Community Based Services advised Members that she would include

updates in regular reports to the Council's Adult and Community Based Services Committee which could also address also a question raised regarding Dignity and Care Champions.

- (ii) North East Integrated Care System – A presentation detailed background information, purpose and key challenges relating to an Integrated Care System (ICS) for the North East and North Cumbria. Features and key principles of established ICS Partnership Assemblies were outlined together with the key benefits to local people.

Merger Application - Proposals for new Clinical Commissioning Groups for Tees Valley and Durham CCGs – A presentation updated the Board on the current CCGs arrangements covering Teesside, Darlington and Durham. The presentation outlined the role of CCGs and the additional benefits which it was considered a merger could provide. Options were detailed to the Board as follows:-

- Single CCG across the ICS i.e. Cumbria and the North East
- Single CCG across the 5-CCG collaborative: merger of Darlington CCG, Durham Dales, Easington & Sedgefield CCG; Hartlepool & Stockton-on-Tees CCG; North Durham CCG and South Tees CCG.
- Single CCG across each Integrated Care Partnership: i.e. the southern ICP (South Tees CCG, Hartlepool and Stockton on Tees CCG and Darlington CCG) and the central ICP (Durham Dales, Easington and Sedgefield CCG, North Durham CCG, South Tyneside CCG and Sunderland CCG)
- Two CCGs with a shared management structure i.e. a single Tees Valley CCG and a single Durham CCG whilst retaining a shared management structure.

Based on principles and expected benefits, option 4 was considered by the CCG to work best as it would retain a local focus whilst making greater savings, it would support pathway transformation and greater equality in clinical outcomes across our populations and would strengthen work with the Local Authorities. It was considered also that it would help to use clinical leadership effectively across a broader population base, it would support financial sustainability and was considered to be likely to be supported by partners, stakeholders and NHS England.

The Clinical Commissioning Group was working with local Healthwatch organisations to engage with patients and the public to get their views on plans. Views were being sought also from Partners, Health and Wellbeing Boards, Councils and stakeholders to get their views also. These would inform the decisions the CCG Governing Bodies would make at the end of August. Following clarification regarding timescales, the Chair requested Board Members to submit their comments on proposals, by 19th July, in order that a response on behalf of the Board could be submitted.

11. Any Other Items which the Chairman Considers are Urgent

The Chairman ruled that a request by a member of the public, in attendance at the meeting, that items of business should be considered by the Committee as a matter of urgency in accordance with the provisions of Section 100(B) (4)(b) of the Local Government Act 1972 in order that the matters could be dealt with without delay

A member of the public expressed concerns regarding infection control associated with the alleged manipulation of water quality results. Concerns were expressed also regarding incidents of listeria linked to patient deaths linked to an alleged listeria outbreak.

The Chair advised that he was not aware of background to the concerns expressed and informed the member of the public that he was happy to discuss the issues with the member of the public following the meeting. The Chief Officer of the Clinical Commissioning Group added assurance that the listeria issue was being addressed.

Meeting concluded at 11.40 a.m.

CHAIR

SAFER HARTLEPOOL PARTNERSHIP

MINUTES AND DECISION RECORD

26 JULY 2019

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

Present:

Responsible Authority Members:

Councillor Shane Moore, Hartlepool Borough Council (In the Chair)

Councillor Tennant, Elected Member, Hartlepool Borough Council
Denise McGuckin, Director of Regeneration and Neighbourhoods,
Hartlepool Borough Council
Chief Inspector Nigel Burnell, Chair of Youth Offending Board
Michael Houghton, Director of Commissioning, Strategy and Delivery,
Hartlepool and Stockton on Tees and Darlington NHS Clinical
Commissioning Group
Alan Brown, Group Manager, Cleveland Fire Authority

Other Members:

Rachelle Kipling, Office of Police and Crime Commissioner for Cleveland
John Lovatt, Assistant Director, Adult Social Care, Hartlepool Borough
Council (as substitute for Jill Harrison)

Officers: Sylvia Pinkney, Head of Public Protection
David Cosgrove, Democratic Services Team

10. Apologies for Absence

Responsible Authority Members:

Gill Alexander, Chief Executive, Hartlepool Borough Council
Tony Hanson, Assistant Director, Environment and Neighbourhood Services,
Hartlepool Borough Council
Superintendent Alison Jackson, Neighbourhood Partnership and Policing
Command, Cleveland Police
John Graham, Director of Operations, Durham Tees Valley Community
Rehabilitation Company

Other Members:

Pat Riordan, Director of Public Health, Hartlepool Borough Council
Sally Robinson, Director of Children's and Joint Commissioning Services, Hal
Borough Council

Jill Harrison, Director of Adult and Community Based Services, Hartlepool Bo Council
Barry Coppinger, Office of Police and Crime Commissioner for Cleveland
Joanne Hodgkinson, Voluntary and Community Sector Representative, Chief Executive, Safe in Tees Valley
Chris Joynes, Director of Customer Support, Thirteen Group.

11. **Declarations of Interest**

None.

12. **Minutes of the meeting held on 21 June 2019**

Confirmed.

13. **Cleveland Divert – Adult Deferred Prosecution Scheme** *(Office of the Police and Crime Commissioner for Cleveland)*

Purpose of report

To provide the Safer Hartlepool Partnership with a progress update in relation to the Cleveland Divert, an adult deferred prosecution scheme.

Issue(s) for consideration

The Police and Crime Commissioner (PCC) for Cleveland's representative reported that Cleveland Divert, introduced in January 2019, aimed to reduce the number of victims of crime by reducing re-offending and making communities safer. The scheme was funded by the Police and Crime Commissioner for Cleveland, and delivered by Durham Tees Valley Community Rehabilitation Company and Cleveland Police.

Cleveland Divert is a deferred prosecution scheme that proactively identifies and engages with adults at risk of entering the Criminal Justice System for low-level offences. The offender is supported through the scheme by skilled Divert Support Officers who assess and identify their needs and develop a needs-based personal agreement.

Since its phased implementation from January 2019 onwards Divert has received 117 referrals from across Cleveland. Of this total 12% relate to offences that occurred in Hartlepool and primarily relate to shoplifting and possession of drugs offences. Of the total number of referrals received from Hartlepool, more than one third relate to male offenders aged between 18-25 years, with a further 20% of referrals relating to females aged between 26-35 years. Analysis of offender needs showed that drug misuse is a primary need for both males and females, with accommodation and financial management being specific areas of concern for female offenders.

Over the short lifetime of the scheme it has become evident that although the level of offence may be considered low, the complexity of needs can be high, particularly concerning female offenders. As at the end of June 2019, 12 Divert cases remain open in Hartlepool, with two cases closed due to successful completion and full compliance.

The PCC's representative indicated that a further update report would be presented to the partnership later in the year and would include some case study examples to show the work that was being undertaken. The Chair questioned if the Police were seeing any benefits from the scheme. The Chair of the Youth Offending Board stated that at this time it was too early to talk of results but the evidence around this approach was sound and early intervention did have an effect. Members suggested that reference to the scheme should be made as part of the Audit and Governance Committee's investigation into anti-social behaviour.

Decision

That the report be noted and that a further update be submitted to the Partnership towards the end of the year.

14. Safer Hartlepool Partnership Information Sharing Protocol *(Director of Regeneration and Neighbourhoods)*

Purpose of report

To update SHP Members on the proposal to update the Safer Hartlepool Partnership Information Sharing Protocol (ISP).

Issue(s) for consideration

The Director of Regeneration and Neighbourhoods reported that the Partnership currently had in place an information sharing protocol, however, due to changes in legislation, particularly the General Data Protection regulations (GDPR) 2016 and the Data Protection Act (DPA) 2018, it had been necessary to review this protocol to ensure compliance with legislation and take into account changes to Partnership arrangement since the protocol was first agreed. The new protocol would be circulated to partner agencies in the next few weeks seeking the approval to the new protocol from the statutory officers within those agencies.

Decision

That the Safer Hartlepool Partnership Members be requested to consider the revised Information Sharing Protocol and associated guidance when

circulated and for an appropriately appointed person within their organisation signing the protocol using the signatory form contained within the document.

15. Safer Hartlepool Partnership Communications Strategy *(Director of Regeneration and Neighbourhoods)*

Purpose of report

To update Partnership Members on the proposals to improve communications in relation to the work undertaken by the Safer Hartlepool Partnership.

Issue(s) for consideration

The Director of Regeneration and Neighbourhoods reported that the Partnership last considered a refresh of its Communications Strategy in 2013 and in 2018, feedback from the online Community Safety Survey, Face the Public event and findings from the Annual Strategic Assessment identified that there was scope for improvement in the communication of the Partnership's work and the promotion of key messages.

In March 2019, the Partnership agreed that Improved Communication should be a priority for 2019/20 and, accordingly, a refreshed Communications Strategy and Protocol be presented to a future meeting of the Partnership to ensure a consistency of approach.

Decision

That the report be noted.

16. Any Other Items which the Chairman Considers are Urgent

A Councillor raised a request on behalf of residents in his ward for a No Cold Callers Zone. The Head of Public Protection indicated that she would liaise with the Member to introduce the zone.

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

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

the Local Government Act 1972 as amended by the Local Government (Access to Information) (Variation) Order 2006.

Minute 18 – Domestic Homicide Review – This item contains exempt information under Schedule 12A Local Government Act 1972 as amended by the Local Government (Access to Information) (Variation) Order 2006, namely (para 2) information which is likely to reveal the identity of an individual.

- 18. Domestic Homicide Review** (*Director of Regeneration and Neighbourhoods*) This item contains exempt information under Schedule 12A Local Government Act 1972 as amended by the Local Government (Access to Information) (Variation) Order 2006 namely (para 2)

Purpose of report

To consider the report into a recent death as part of the Safer Hartlepool Partnerships Statutory duty to commission Domestic Homicide Reviews under Section 9 of the Domestic Violence, Crime and Victims Act (2004).

Issue(s) for consideration

Under section 9 of the Domestic Violence, Crime and Victims Act (2004) Community Safety Partnerships have a statutory duty to undertake Domestic Homicide Reviews and a detailed report was considered by the Partnership, details of which are set out in the exempt section of the minutes.

Decision

The Safer Hartlepool Partnership Executive considered the Domestic Homicide Review Report and agreed that the final report be sent to the Home Office to be quality assessed.

The meeting concluded at 2.10 pm

CHAIR

FINANCE AND POLICY COMMITTEE

11th November 2019



Report of: Director of Regeneration and Neighbourhoods

Subject: SALE OF LAND AT HART

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Key Decision (test (i)) Forward Plan Reference No. 30/18

2. PURPOSE OF REPORT

2.1 The purpose of this report is to seek consent to revised terms for the sale of land at Hart previously reported on 18th September 2017. The report had been intended for submission to the Committee on 14th October 2019. However, due to time taken to complete negotiations, there was a departure from the Forward Plan.

3. BACKGROUND

- 3.1 In 2017 the land shown hatched red at **APPENDIX 2** was marketed for sale as a residential development site and a number of tenders were received. A report was brought to this Committee on the 18th September 2017 and approval was given to a "joint venture" based sale to one of the tenderers. Extracts from the minutes to such Committee are included at **CONFIDENTIAL APPENDIX 3. This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely (para 3), information relating to the financial or business affairs of any particular person (including the authority holding that information.**
- 3.2 Subsequently the developer carried out site investigation work and has costed abnormal items as set out in brief in **CONFIDENTIAL APPENDIX 4 This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely (para 3), information**

relating to the financial or business affairs of any particular person (including the authority holding that information.

- 3.3 The developer has also engaged with the Council in respect of Section 106 and 278 contributions necessary under Council policy as set out specifically and in brief in **CONFIDENTIAL APPENDIX 5 This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely (para 3), information relating to the financial or business affairs of any particular person (including the authority holding that information.**
- 3.4 Due to the high level of abnormal costs and Section 106 costs, the developer has now revised the offer for the property as set out in **CONFIDENTIAL APPENDIX 6 This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely (para 3), information relating to the financial or business affairs of any particular person (including the authority holding that information.**
- 3.5 Following extensive discussions with the developer and checking by Council officers, it is considered that the major abnormal development costs are unavoidable for this development and any similar proposal would encounter the same issues, which include subsoil conditions, slope and diversion of overhead electricity wires. The location of the site outside the existing village and the lack of capacity of mains services in the area to serve additional properties is a major factor leading to large abnormal costs to upgrade, extend and connect to services. The subsoil conditions on the site are such that standard trench foundations would not be adequate and therefore vibro-pile foundations are required across the site. The slope of the site from the existing road frontage down towards the beck on the northern side of the land means that retaining walls are required to many of the plots and a foul drain pumping station will have to be installed in order to take the foul drainage to the nearest drain, which is located approximately 60 metres north of the beck. These are all significant abnormal deductible costs considerably exceeding the allowance reflected in the report to Committee of 18th September 2017.
- 3.6 Public Highway works are also a factor: The Council's Highways section has advised that the anticipated increase in traffic from this and other nearby proposed developments requires the installation of traffic lights to the Palace Row / A179 junction to the west of the site and the developer will therefore be required to make a sizeable contribution to the cost of this work.
- 3.7 Attempts have been made to share some of the abnormal utility costs with another development site in Hart but this has not proved possible as the other developer is not yet in a position to proceed and any agreement attempting to secure future payments would have been complex and potentially difficult to enforce.

4. PROPOSALS

- 4.1 It is proposed that the sale is completed on the terms outlined in **CONFIDENTIAL APPENDIX 6 This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely (para 3), information relating to the financial or business affairs of any particular person (including the authority holding that information.**

5. RISK IMPLICATIONS

- 5.1 All transactions of this type involve some element of commercial risk due to the requirement to obtain planning permission before completion. However, the level of risk is considered acceptable as the developer has already had extensive pre-application discussions with the Council's planning department and the initial proposed scheme has been revised to accommodate points raised by planning officers. Furthermore, the site is included in the Local Plan as a residential development area and the proposed purchaser is a very well established house builder that has constructed many other developments.
- 5.2 The previous tender made on the "joint venture " basis , whilst more financially attractive, exposed the Council to a very significant risk in the present economic climate and fears over market down turn due to Brexit or associated uncertainty. To only receive payment post the sale of the 27th house on the site and thereafter plot by plot was deemed to carry excessive risk to the Council not to mention some 2 years delay in receipt of payment.

6. FINANCIAL CONSIDERATIONS

- 6.1 Whilst less than originally anticipated, the completion of the sale will result in a substantial receipt from the site.
- 6.2 The developer will also make a significant cash payment through a Section 106 agreement.
- 6.3 The completion of the new houses will also release New Home Bonus payments, subject to the continuation of the scheme. This income has already been reflected in the Medium Term Financial Strategy as the site is within The Local Plan. Council Tax receipts from the site have also been accounted for in the Council's financial planning. The likely Council Tax Band levels for the site are as follows:

Likely Council Tax Band	No of Houses
B	4
C	8
D	2
E	26
F	8
Total	48

7. LEGAL CONSIDERATIONS

- 7.1 The Chief Solicitor will be instructed to act for the Council in the completion of the agreement.

8. OTHER CONSIDERATIONS

8.1

Consultation	No relevant issues
Child and Family Poverty	No relevant issues
Equality and Diversity	No relevant issues
Section 17 of the Crime and Disorder Act 1998 Considerations	No relevant issues
Staff Considerations	No relevant issues

9. ASSET MANAGEMENT CONSIDERATIONS

- 9.1 The decision to adopt a commercial approach to asset management requires the Council to realise the full value of any properties or property rights that it disposes of.

10. RECOMMENDATIONS

- 10.1 It is recommended that Committee approve the revised terms for the sale of the land.
- 10.2 It is recommended that Committee delegate authority to the Director of Regeneration and Neighbourhoods in consultation with the Chief Solicitor and Chair of Finance and Policy Committee to agree the detailed terms of the contract.

11. REASONS FOR RECOMMENDATIONS

- 11.1 As outlined above, the site is affected by major unanticipated abnormal costs that would face any similar development and thus any other purchaser would

allow for them in their final bid. The Section 106 contributions proposed are also on the basis of current policy. The developer has reduced its offer on genuine grounds and it is unlikely a higher receipt would be obtainable if the site was re-marketed.

- 11.2 Given the above the terms outlined in **CONFIDENTIAL APPENDIX 6 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 are considered to represent market value.**

12. BACKGROUND PAPERS

- 12.1 Finance and Policy Committee report of 18th September 2017 Sale of Land at Hart and the Minutes and Decision Record of that meeting (Minute 52).

13. CONTACT OFFICER

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

5.1 APPENDIX 1

POVERTY IMPACT ASSESSMENT

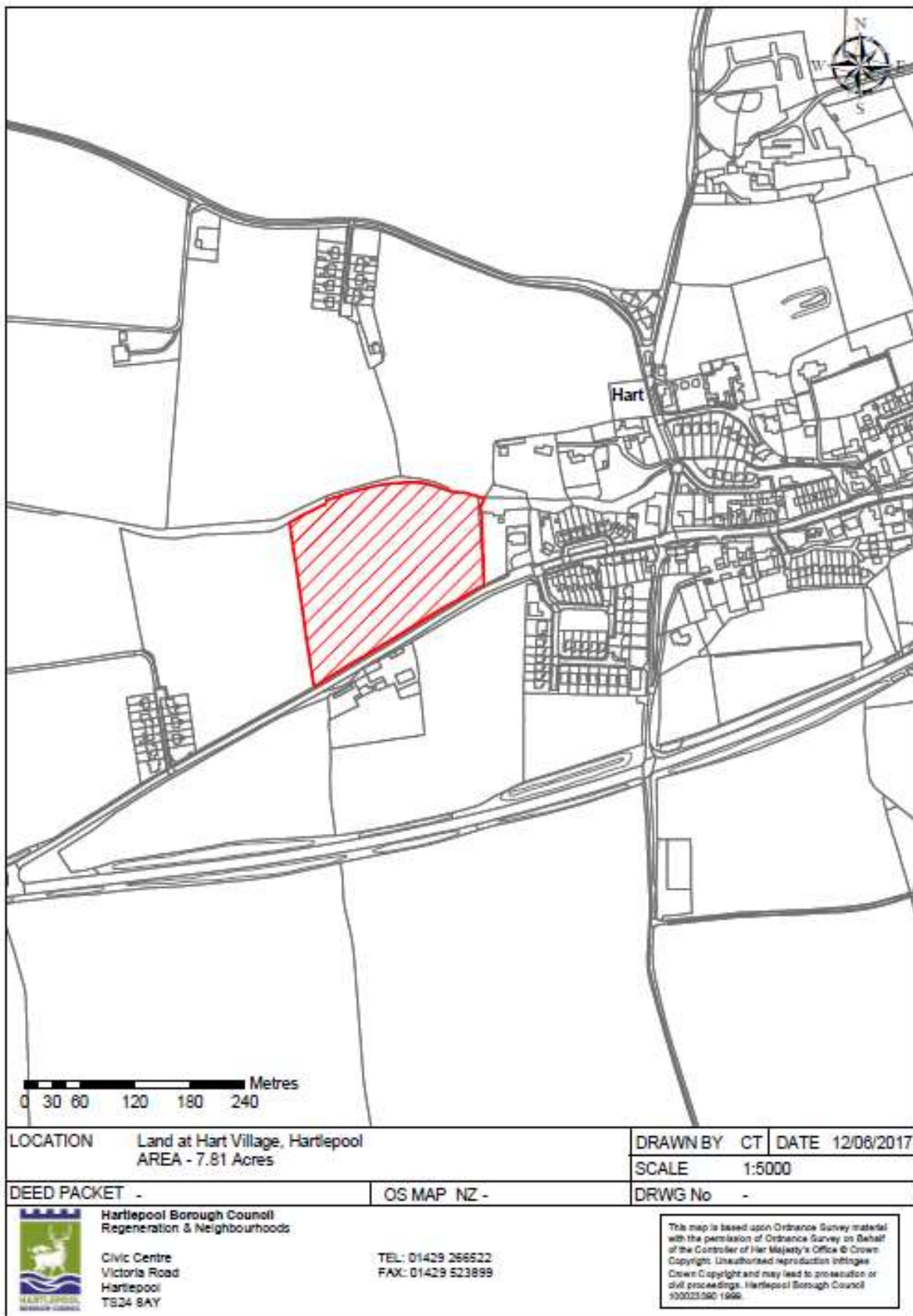
1. Is this decision a Budget & Policy Framework or Key Decision? YES If YES please answer question 2 below				
2. Will there be an impact of the decision requested in respect of Child and Family Poverty? NO If YES please complete the matrix below				
GROUP	POSITIVE IMPACT	NEGATIVE IMPACT	NO IMPACT	REASON & EVIDENCE
Young working people aged 18 – 21				
Those who are disabled or suffer from illness / mental illness				
Those with low educational attainment				
Those who are unemployed				
Those who are underemployed				
Children born into families in poverty				
Those who find difficulty in managing their finances				
Lone parents				
Those from minority ethnic backgrounds				
Poverty is measured in different ways. Will the policy / decision have an impact on child and family poverty and in what way?				
Poverty Measure (examples of poverty measures appended overleaf)	POSITIVE IMPACT	NEGATIVE IMPACT	NO IMPACT	REASON & EVIDENCE

5.1 APPENDIX 1

POVERTY IMPACT ASSESSMENT

Overall impact of Policy / Decision			
NO IMPACT / NO CHANGE		ADJUST / CHANGE POLICY / SERVICE	
ADVERSE IMPACT BUT CONTINUE		STOP / REMOVE POLICY / SERVICE	
Examples of Indicators that impact of Child and Family Poverty.			
Economic			
Children in Low Income Families (%)			
Children in Working Households (%)			
Overall employment rate (%)			
Proportion of young people who are NEET			
Adults with Learning difficulties in employment			
Education			
Free School meals attainment gap (key stage 2 and key stage 4)			
Gap in progression to higher education FSM / Non FSM			
Achievement gap between disadvantaged pupils and all pupils (key stage 2 and key stage 4)			
Housing			
Average time taken to process Housing Benefit / Council tax benefit claims			
Number of affordable homes built			
Health			
Prevalence of underweight children in reception year			
Prevalence of obese children in reception year			
Prevalence of underweight children in year 6			
Prevalence of obese children in reception year 6			
Life expectancy			

Plan – Land at Hart



FINANCE AND POLICY COMMITTEE

11th November 2019



Report of: Director of Adult and Community Based Services

Subject: FINANCIAL ADVICE AND GUIDANCE CONTRACT

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Key Decision test (i)/(ii) – Forward Plan Ref. ACBS093/19

2. PURPOSE OF REPORT

2.1 To present options for providing a financial advice and guidance service beyond March 2020 when the current contract ends, and to gain approval for a preferred option.

3. BACKGROUND

3.1 The provision of financial advice and guidance services to support local residents has been a priority for the Council for a number of years linked to financial inclusion and child and family poverty.

3.2 Prior to 2015/16 the provision of universal welfare benefits and advice services was funded by the Council from the 'Community Pool' – with a contract value of £110k. The 'Community Pool' ceased from April 2015 as part of the Council's annual savings proposals. However, Finance & Policy Committee agreed to continue to fund the financial advice service at the same value for a further year (2015/16) using one-off funding from an uncommitted grant and reserves.

3.3 Funding was then identified in the Medium Term Financial Strategy 2016/17 to 2018/19 to continue the service for a further three years from the Child and Family Poverty Reserve. The £110k funding was then mainstreamed linked to the development of Community Hubs in 2019/20, when it was recognised that delivery of financial advice and guidance would be an important element of the core offer delivered across Community Hub sites.

4. CURRENT SERVICE PROVISION

- 4.1 The current service is provided by a local voluntary and community sector organisation, and the contract ends on 31 March 2020 with no option to extend beyond this date.
- 4.2 The advice provided is free and impartial and aims to support residents of Hartlepool to maximise entitlement to benefits, as well as providing advice on debt management, employment law and completion of welfare benefit claims. The service also assists in negotiating repayments with creditors and supports those in financial crisis. Services are delivered from Community Hubs North, Central and South via drop in, pre-booked appointments, form filling appointments, home visits (for those unable to access services) and telephone triage.
- 4.3 From 1 April 2017 until 30 September 2019 there has been significant support provided including:
- 4,831 individuals accessed 9,309 appointments;
 - £12,706,180 benefits applied for with £5,889,872 confirmed as successful (provider assumes £10,800,253 successful).
 - Significant support to those over 50, who are the highest users of the service (34% aged 50-64 years and 35% aged 60+ years).
 - Support with the three most common benefit applications - Personal Independent Payment (PIP), Attendance Allowance and Council Tax Support.
 - Over 2,000 people supported with PIP applications.
 - 850 people supported with Attendance Allowance applications.
 - Over 350 Mandatory Reconsiderations have been completed.
- 4.4 Demand for the service continues to rise. There is an average waiting list of 58 individuals seeking debt advice at any one time.
- 4.5 The forthcoming contract end date has provided an opportunity to review and better understand current needs and demands for financial advice and guidance and potential models of delivery for the future. The current service is full to capacity based on the existing delivery model.
- 4.6 An additional £4k was invested into the contract for 2019/20 to sustain service delivery. However, even with additional investment, service delivery reduced by 22 hours per week in order to meet the inflationary pressures of the provider. This strengthens the need to review priorities and outcomes for the service within the available financial resource.
- 4.7 Since the Welfare Reform and Work Act 2012 there have been significant changes to the welfare and benefits system. This has seen many people having reductions in their daily living allowance leading to significant financial hardship.
- 4.8 The Children's Hub hosts the Welfare Support Team which also supports many people in need, specifically linked to food and energy advice and

support. Applications have increased significantly since 2014/15 when 1,631 applications of support were received, with 4,014 applications received in 2018/19; an increase of almost 250%.

- 4.9 Services report a high percentage of repeat customers who are experiencing persistent financial hardship. Of 1,042 Discretionary Housing Payment (DHP) applications received in 2018/19, 11% of applicants had been supported 3 times and 5% more than 5 times, despite DHP being a short term solution. There are currently 50 people who present weekly for Local Welfare Support and 110 people who repeatedly request DHP.
- 4.10 In some instances short term financial advice is being given to people (food vouchers, energy top ups, clothing vouchers and DHP) along with advice on budgeting, benefit maximisation tips and signposting for debt advice. There is a gap however in being able to invest time to implement effective change to sustain people's financial wellbeing and reduce repeat service users.
- 4.11 There are a number of other services that provide advice and support with varying levels and specialisms. Services frequently refer into each other and capitalise on specialisms and capacity available. Other services providing financial advice and guidance which need to be considered when considering future options are:
- Citizen's Advice Bureau - commissioned by Department for Work and Pensions to provide Universal Credit application support;
 - Age Concern - support adults aged over 50 years with financial and benefit advice inclusive of home visits;
 - Hartlepool Borough Council Contact Centre - provides face to face support for housing benefits, council tax, free school meals and digital access to services; and
 - Hartlepool Credit Union – providing support for good money management, low interest loan options and white goods packages.

5. PROPOSALS

- 5.1 The demand for financial advice and support, including specialist debt advice, continues to grow, demonstrating a clear need for continued investment.
- 5.2 There are potential opportunities to increase coordination and enable more effective management of demand through different delivery models.
- 5.3 Three options for future service delivery have been considered and are summarised below:

TABLE 1: Options for future service operations.

Option	Benefits	Risk	Recommendation
1. Continuation of service under existing specification.	Existing model of delivery.	Does not currently meet demand. Financial pressure of current operating model.	This option does not meet current need and additional investment is not available to increase capacity.
2. Revision of service specification to represent current demand trends and focus on the more specialist advice and guidance. The model will focus on 'outreach' without the need for investment into asset management costs capitalising on the amount invested into front line delivery. This would also allow the opportunity to pool resources linked to a proposal to commission specialist 'change management' advice within the Welfare Support Team and maximise coordination across all financial advice services locally.	Coordinated approach to manage demand. Flexibility within contract to respond to demand. Agile delivery model to utilise HBC assets to deliver services, investing more into frontline delivery. Increased coordination and better managing demand. Independent of HBC so advice perceived to be impartial.	Attractiveness of contract to providers. Fixed term funding from the 'Welfare Support Team' contribution (12 months).	This will provide greater agility to respond to the needs of the community and manage the supply and demand more effectively through clearer and well monitored contract arrangements.
3. Bring services in house to deliver all functions of financial advice and guidance and commission a specific function linked to the Welfare Support Team.	Opportunity for close management, delivery and monitoring of services. Greater opportunity for improved coordination of internal services.	TUPE may apply depending on the service specification requirements. If TUPE does apply there is a risk of higher salary and pension costs. Fulfilment of all obligations linked to the delivery of	This will allow for internal management and monitoring of service however there would be significant planning required to bring the service in house and ensure successful service delivery is

		<p>specialist services including:</p> <ul style="list-style-type: none"> -professional indemnity insurance -acquisition of advice quality mark -industry specific case management system -attainment and retention of professional memberships and qualifications -registration with financial conduct authority <p>Relationships with the community.</p> <p>Feedback identifies that some people prefer financial advice to be offered as an independent service because it is perceived to be more impartial than 'the council'.</p>	<p>maintained. If this is unsuccessful then there is a risk it will need to be commissioned again in the future causing uncertainty for staff and lack of continuity.</p>
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- 5.4 It is recommended to progress with Option 2 based on the measure of benefits and risks associated to each option. Option 2 will enable a review of the current contract specification to respond to the local need, provide advice and support in more locations utilising existing assets and review capacity and appointment structure
- 5.5 Based on the evaluation of the current delivery model, there is evidence of positive outcomes for people, however at least 483 people were unable to be accommodated appointments due to demand management and available resource. This highlights that continuing with the existing model of delivery is not an option and the resource needs to be managed differently.
- 5.6 Option 3 presents potential financial risks associated with TUPE application and there is a significant risk of reduced public engagement based on the requirement for an independent advocacy service to provide financial advice and support. Additionally being able to establish an effective infrastructure for delivery and fulfilling industry standards is also a risk.

6. RISK IMPLICATIONS

- 6.1 All options ensure that a financial advice and guidance service is delivered for the residents of Hartlepool. Options 2 and 3 allow for improvements to the current delivery model, however there is financial risk associated with Option 3 pending consideration of potential TUPE implications and potential reputational risk of the service not being perceived to be independent / impartial.

7. FINANCIAL CONSIDERATIONS

- 7.1 The current budget for the service is £110k. In 2020/21 the budget has a 2% inflationary uplift applied therefore the base budget for this period will be £112,200 and inflation will then be applied each year with actual amounts determined as part of the annual budget report.
- 7.2 The future service delivery model needs to be provided within the available budget.
- 7.3 There is potential to maximise funding by working more closely with the Welfare Support Team through Option 2 to target the known 'frequent flyers' and supporting demand management within the Children's Hub. This would provide additionality to the contract value of £20,000 for approximately 12 months.
- 7.4 Ensuring an effective financial advice and guidance service will in turn contribute towards managing demand on other council services.

8. LEGAL CONSIDERATIONS

- 8.1 In relation to the current contract, the Council's Contract Procedure Rules do not allow for a further extension.
- 8.2 If the preferred option is for the service to be delivered in house, the legal implications associated with potential transfer of staff would need to be assessed and managed.

9. CONSULTATION

- 9.1 Information and intelligence has been gathered from existing services operating within the financial wellbeing sector.
- 9.2 There has been no formal consultation with people who access services. Informal feedback indicates that some people prefer financial advice to be offered independently of the Council because it is perceived to be more impartial, and also supports the view that the current service has insufficient capacity to meet need.

10. CHILD AND FAMILY POVERTY

- 10.1 Effective financial advice and guidance supports long term debt solutions and ensures those in crisis are supported. This has a significant impact on child and family poverty.

11. EQUALITY AND DIVERSITY CONSIDERATIONS

- 11.1 Equality and diversity considerations will be embedded and monitored in any delivery model moving forward. The service is available to all residents, including those with protected characteristics.

12. STAFF CONSIDERATIONS

- 12.1 There will potentially be staffing considerations (including potential for TUPE to apply for up to 12 staff), dependent upon the preferred option for the future of the service and the outcome of any tendering exercise. Once the implications are known, all necessary steps will be taken to address any issues that arise, with involvement of Trade Unions as appropriate.
- 12.2 If Option 3 was progressed there would be no immediate risk to staff and they would be protected under current terms and conditions of employment. Measures will then be consulted on at point of transfer as necessary. Roles would be evaluated for demonstration in case staff leave however there will be no automatic alignment to HBC bandings. There is a risk that HBC would become responsibility for redundancy costs linked to any restructure of the service.
- 12.3 TUPE staff would automatically join the Local Government Pension Scheme and could immediately transfer other pension funds into this scheme. Any staff over 55 and at risk of redundancy would also be eligible for pension release costs.

13. ASSET MANAGEMENT CONSIDERATIONS

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

14. RECOMMENDATION

- 14.1 It is recommended that Finance and Policy Committee review the information and options presented.
- 14.2 It is recommended that Members support option Option 2 for the reasons outlined in the option appraisal.

15. REASON FOR RECOMMENDATION

- 15.1 To ensure that financial advice and guidance can continue to be provided for the people of Hartlepool, and to enable progression of the preferred option within the timescales as appropriate.

16. CONTACT OFFICER

Gemma Ptak
Assistant Director – Preventative and Community Based Services
01429 523441

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

11th November 2019



Report of: Director, Children's and Joint Commissioning Services, Director of Public Health.

Subject: "FILLING THE HOLIDAY GAP" SCHEME 2018/2019
UPDATE AND PROPOSALS FOR 2019/2020

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Non Key.

2. PURPOSE OF REPORT

- 2.1 To inform members of the committee key outcomes from the 2018-2019 "filling the Holiday Gap" community grant schemes. These were delivered over summer 2018 6-week holidays, Christmas 2018 2-week holidays, Easter 2019 2-week holidays and summer 2019 6-week holidays.
NOTE: No evaluation of the Easter 2018 scheme will have been reported to members as the July 2018 report only included Christmas '17 outcomes (attached as **Appendix 1**).
- 2.2 To present options for the development and delivery of future programmes with the recommendation that additional resources be allocated from the Child and Family Poverty Initiatives reserve.

3. BACKGROUND

- 3.1 A report was presented to Finance and Policy committee on 9th July 2018 sharing the success and positive outcomes of "Filling the Holiday Gap" grant scheme that took place in Christmas 2017 to tackle food poverty during school holidays. The report outlined options in relation to the delivery of future initiatives and recommended allocation of additional resources to the grant scheme for local community, voluntary sector and public sector organisations to deliver projects over summer 2018, Christmas 2018, Easter 2019 and summer 2019.

- 3.2 Based on the report findings Members agreed to the following “one –off” funding allocations:-
- £25,000 for summer 2018 Filling the Holiday Gap Scheme
 - £10,000 for Christmas 2018 Filling the Holiday Gap Scheme
 - £10,000 for Easter 2019 Filling the Holiday Gap scheme
 - £25,000 for summer 2019 Filling the Holiday Gap scheme
- 3.3 Funding for the above schemes was approved from the Child and Family Poverty Initiatives reserve.
- 3.3 Revised criteria were agreed for the schemes which included the limit per organisation bidding to be £2,500 per scheme and that bids should equate to no more than £3 per meal per child.
- 3.4 It should also be mentioned that an ambitious bid, by Hartlepool Borough Council submitted in February 2019 to the Department of Education for grant funding to take on the role of testing the coordination of free holiday provision (including healthy food and enriching activities) for disadvantaged children was unfortunately not successful. Feedback was positive and constructive should the opportunity arise in the future.
- 3.5 For summer 2018, the scheme attracted bids from 16 organisations in total. Funding was allocated to 15 bids due to one bid not meeting the criteria as per the application process. Completed monitoring and evaluation forms showed over 1764 children and 536 adults benefitted from the 8604 meals, 873 food parcels and 3919 plus snacks that were provided by the 15 projects over the 2018 summer period.
- 3.6 For Christmas 2018, bids were received from 11 organisations in total. Over 379 children, 182 adults, and also collectively measured 476 families benefitted from the 200 meals, 430 food parcels and 459 snacks that were provided by the projects over the Christmas period.
- 3.7 For Easter 2019, bids were received from 6 organisations in total. Easter schemes cover a shorter holiday period, so this was considered when allocating funds. 259 children, 50 adults and 771 families benefitted from 1828 meals, 124 food parcels and 711 snacks that were provided.
- 3.8 For summer 2019, the ring fenced reserve attracted bids from 19 organisations in total. One organisation withdrew due to staff illness and being unable to host the activities, families were given information for other areas that were hosting activities over the summer period. In total over 1529 children, 25 adults and 1796 families benefitted from 6907 meals, 1545 snacks and meals, 250 food parcels and 4095 snacks that were provided by the 18 projects.

- 3.9 Over the 4 main holiday periods; summer 2018, Christmas 2018, Easter 2019 and summer 2019, funding from the child and poverty reserve supported 50 organisations to provide “Filling the Holiday Gap”.
- 3.10 During a potential total holiday period of 16 weeks, 3,931 children, 793 adults and 3,043 families attended the projects and benefitted from 17,539 meals, 1677 food parcels, 9184 snacks and 1545 combined snacks and meals.
- 3.11 A total of £70,000 had been allocated towards these schemes from the Child and Family Poverty Initiatives reserve with total expenditure incurred of £63,254. The balance of funding (£6,746) has been returned to the Child and Family Poverty Initiatives reserve.

4. PROPOSALS

- 4.1 It is clear that the holiday hunger scheme is meeting a high level of need, has reached a large cohort of children and should be considered as a priority for continued funding from the Child and Family Poverty Reserve for Christmas 2019, Easter 2020 and summer 2020. However there are a number of areas that have been identified for improvement within the scheme as part of our ongoing monitoring and evaluation which will help develop a more efficient and joined up approach to support the demand from children eligible for free school meals in future holiday periods. In particular:-

- There is evidence of poor nutritional standards in some provision, thus there is a need to ensure that there is consistency of nutritional standards in the meals being offered.
- The funding for schemes has been directed more widely and not always specifically at providing meals solely for children.

Two options are available to tackle these issues:

- A. To test the feasibility of procuring a single catering provider who will work in partnership with local partners to distribute nutritional meals from Easter 2020 and operate the current arrangements for Christmas 2019.**

Benefits

- Ensures consistency of meal provision against agreed nutritional standards and menus
- Allows for improvements in quality assurance arrangements

Risks

- No clear transport provision and distribution points agreed for the distribution of meals
- Lacks potential to further develop community capacity through VCS involvement.

- There may not be a single provider with the capacity to take on the contract

B. To continue with the current system with enhanced criteria for application and evaluation.

Benefits

- Provides diversity of meal provision according to local needs.
- Builds community capacity working with VCS.
- No distribution issue.

Risks

- Remaining inconsistency in meal provision in relation to nutritional quality.

To test the viability of option A, it is proposed to seek tenders for a single provider commencing Easter 2020, with the option of moving to option B if a suitable tender is not received.

5. RISK IMPLICATIONS

- 5.1 As a result of the increasing take up of the scheme over the 4 holiday periods, there is the risk that without targeted provision of foods for children during holiday time, health inequalities across the town may widen. As previously shared but is still a fact, families normally entitled to free school meals in the most deprived areas of Hartlepool may become malnourished over the school holiday period, often resorting to very poor quality food high in fat, salt and sugar. This contributes to poor nutritional outcomes and rising obesity levels.
- 5.2 The latest National Child Measurement Programme (NCMP) data for Hartlepool shows that 24% of reception children and 43.8% Year 6 children are overweight or obese. These are much higher than the national average of 22.6% reception children and 34.3% year 6 children who are overweight or obese.

6. FINANCIAL CONSIDERATIONS

- 6.1 Historically, the 'Filling the Holiday Gap' schemes have been fully funded from the Child and Family Poverty Initiatives reserve. The Table below shows the current position of this reserve:-

Child & Family Poverty Reserve

	£'000
Opening Balance 1/04/19	210.0
2019/20	
F&P 9/07/18 - Holiday Gap Easter 19	(10.0)
F&P 9/07/18 - Holiday Gap Summer 19	(25.0)
Underspend from 19/20 Schemes	6.0
F&P 21/03/19 - 5-19 Contract Extension	(50.0)
F&P 22/11/17 - MTFs Report External Audit Fees	15.5
F&P 22/07/19 - Safe Families Project (Sept 19 - Aug 20)	(30.0)
Current Uncommitted Balance	116.5

6.2 The proposals in this report propose the following usage which would leave £71,500 of funding available:-

- £10,000 for Christmas 2019 Filling the Holiday Gap scheme;
- £10,000* for Easter 2020 Filling the Holiday Gap scheme;
- £25,000* for Summer 2020 Filling the Holiday Gap scheme;
- * plus any underspend from previous interventions

6.3 If the above allocations were approved this would leave £71,500 unallocated in the current financial year. This is 'one-off' funding, however, Finance and Policy Committee approved a recurring net £15,500 from External Audit fee savings be made available for Child and Family Poverty initiatives on an ongoing basis. The 2019/20 allocation is included in the Table above, however there will be a further £15,500 available in 2020/21 and each following year on a recurring basis.

6.4 Proposals for allocating the outstanding balance and the recurring funding will be brought to a future meeting.

7. LEGAL CONSIDERATIONS

7.1 There are no legal considerations arising from this report.

8. CONSULTATION

8.1 As part of the ongoing evaluation and monitoring processes organisations are consulted on the learning from their scheme and future proposals. All organisations have consistently shared the need for support with food provision for children over summer periods.

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

- 9.1 Child and Family Poverty Impact assessment previously completed as part of the pilot scheme. The programme targets support for children within their communities

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

- 10.1 Poverty can affect anyone, however the evidence suggests that specific groups of people are more susceptible than others. Their needs must therefore be considered. Groups at risk include –
- Young working age people 18-25 years;
 - Lone parents
 - Large families
 - Children born into families with poverty
 - Children who are disabled and / or suffer from illness (including mental illness)
 - Those children with low educational attainment
 - Those who are unemployed
 - Those who find difficulty in managing their finances
 - Those from minority ethnic backgrounds.

11. STAFF CONSIDERATIONS

- 11.1 Using learning from the previous schemes, the proposals and recommendations have been made in order to minimise impact on staff time to coordinate the schemes.

12. ASSET MANAGEMENT CONSIDERATIONS

- 12.1 There are no asset management considerations arising from this report.

13. RECOMMENDATIONS

- 13.1 Members agree to Option A, to explore the feasibility to procure a single provider of meals with the proviso that if this is not feasible to revert to Option B, the current system with enhanced criteria to commence at Easter 2020.
- 13.2 Members agree to provide further ring fenced community resources through the Child and Family Poverty Initiatives Reserve to support schemes for Christmas 2019, Easter 2020, summer 2020 and Christmas 2020.

14. REASONS FOR RECOMMENDATIONS

- 14.1 “Filling the Holiday Gap” is a key priority within Hartlepool Child and Family Poverty Strategy and poverty in general remains a significant issue in Hartlepool.
- 14.2 As shown the extra funding provided for the 4 school holiday periods enabled 3,931 children, 793 adults and 3,043 families to attend projects throughout the Hartlepool Borough and benefit from 17,539 meals, 1,677 food parcels, 9,184 snacks and 1545 combined snacks and meals.
- 14.3 The purpose of “Filling the Holiday Gap” is to provide children during school holiday time with a meal, but in recent schemes evaluation forms have highlighted family activities, family meals and the provision of food parcels to families.

15. BACKGROUND PAPERS

- 15.1 None.

16. CONTACT OFFICERS

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Dr Pat Riordan
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01429 523404

Sign Off:-

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

APPENDIX 1

SUMMARISED OUTCOMES OF 'FILL THE HOLIDAY GAP' SCHEMES

FOREWORD

For each scheme, each organisation is requested to complete an evaluation and monitoring form following the conclusion of their projects. The information requested shows the number of children and parents engaged in each initiative and the total number of meals and snacks provided over the duration of each scheme.

SUMMER 2018

For summer 2018, the ring fenced reserve attracted bids from 16 organisations in total, 15 bids were allocated funds. One project was not successful in their bid as it did not meet the agreed criteria used to assess applications.

In total over 1764 children and 536 adults benefitted from the 8604 meals, 873 food parcels and 3919 plus snacks that were provided by the 15 projects over the 2018 summer period.

It is acknowledged that evaluation forms for 3 organisations have not been included in the analysis due to information not known and unable to source retrospectively.

CHRISTMAS 2018

For Christmas 2018, the ring fenced reserve attracted bids from 11 organisations.

In total over 379 children, 182 adults and 476 families benefitted from the 200 meals, 430 food parcels and 459 snacks that were provided by the 11 projects over the Christmas period.

EASTER 2019

For Easter 2019, the ring fenced reserve attracted bids from 6 organisations. The Easter scheme covered a shorter holiday period and so this factor was considered when allocating funds.

In total over 259 children, 50 adults, and 771 families benefitted from the 1828 meals, 124 food parcels and 711 snacks that were provided by the 6 projects over this period.

SUMMER 2019

For summer 2019, the ring fenced reserve attracted bids from 19 organisations in total. One organisation was allocated funding but then needed to withdraw due to staff illness and being unable to host the activities, families were given information to other areas that were hosting activities over the summer period.

*Please note 3 organisations have yet to share their final evaluation forms/ receipts for expenditure of the project.

From the money originally allocated £23,955 was spent on summer schemes, this means, whilst awaiting figures from the outstanding 3 organisations, currently £1,045 has been underspent from the original allocation.

Any underspend is actively pursued to be put back into the Child and Family poverty reserves.

In total over 1529 children, 25 adults, and 1796 families benefitted from the 6907 meals, 1545 snacks and meals, 250 food parcels and 4095 snacks that were provided by the 18 projects over the summer period.

TO SUMMARISE

Over the 4 main holiday periods; summer 2018, Christmas 2018, Easter 2019 and summer 2019 using the information acquired to date, funding from the child and poverty reserve supported 50 organisations to provide “Filling the Holiday Gap” projects, total costs being £63,254

This is £6,746 less than the original allocation of £70k for the schemes.

Over a potential total holiday period of 18 weeks, 3,931 children, 793 adults and 3,043 families attended the projects and benefitted from 17,539 meals, 1677 food parcels, 9184 snacks and 1545 combined snacks and meals.

The projects themselves reached across Hartlepool Borough communities and varied in terms of size, provision and activities. It is important to note that due to the range of proposals delivered by each organisation, with some sessions being targeted and others being universal comparisons between each project cannot be made.

Overall feedback shows to be positive in terms of providing cooked meals, pack lunches and healthy cooking activities. The projects have allowed children to benefit from planned activities during school holidays with a meal provided in addition to spending time with their friends and having fun.

Opportunities have been provided to learn new skills –understanding about healthy food, cooking on a budget and participate in family orientated activities – feedback suggests this is valued by all family members.

“The main achievements were to reduce the stressors upon families throughout the holiday period. We found that families were especially grateful for the food parcels and stated they “wouldn’t know how they would have managed without the service” (Hartlepool Action Recovery team from a previous summer scheme).

“Feedback from our families suggests this project was a success. Families reported our food parcels eased family budget concerns and the meal provision enabled the families to keep contact with school throughout the summer break. The children reported enjoying the food provided”. (Kilmarnock Road Children & Young people Family Resource Centre).

“A number of families have commented upon they now recognise the importance of spending time together as a family whether this is getting involved in activities or simply sitting down and eating freshly prepared meals” (Harbour, previous Easter scheme).

It is clear from the previous schemes delivered that the “Filling the Holiday Gap” funding provides a valuable resource to a wide range of public and voluntary sector community groups and enables existing holiday provision projects to be supplemented and enhanced to provide a healthy food offer alongside the usual core offer to children and families.

Funding has also increased capacity within some projects to cater for more children attending through increased staffing resource and volunteers.

FINANCE AND POLICY COMMITTEE

11th November 2019



Report of: Assistant Director, Corporate Services

Subject: CORPORATE COMPLAINTS ANNUAL
MONITORING REPORT 2018/19

1. TYPE OF DECISION/APPLICABLE CATEGORY

For information only.

2. PURPOSE OF REPORT

- 2.1 The purpose of this report is to inform Finance and Policy Committee of the 2018/19 outturn position in relation to corporate complaints and those considered by the Local Government Social Care Ombudsman (LGSCO).

3. BACKGROUND

- 3.1 Within the Corporate Complaints, Comments and Compliments Policy there is a requirement to report to elected members on the number of complaints received by the Council along with the final outcome of those complaints. This report outlines the complaints received in 2018/19.

4. SUMMARY OF PROGRESS - CORPORATE COMPLAINTS 2018/19

- 4.1 In total 23 complaints were received in 2018/19, 6 more than the previous year, and of those received 9 (39%) were upheld or partly upheld.
- 4.2 There has been a slight increase in the number of complaints received. A historical comparison of corporate complaints since 2014/15 shows that the number of complaints received annually had been steadily decreasing, however this year has seen an increase of 6 complaints.
- 4.3 The number of corporate complaints upheld or partly upheld has seen a decrease in the last 2 years and is now at the lowest percentage in the last 5 years. The number of complaints received which were upheld or partly

upheld were steadily increasing before reaching a peak in 2016/17, since that date, the number has been decreasing to 39% in 2018/19.

Appendix 1 sets out further information.

5. LOCAL GOVERNMENT AND SOCIAL CARE OMBUDSMAN (LGSCO) – ANNUAL REVIEW LETTER 2019

5.1 The LGSCO Annual Review 2019 letter sets out the annual statistics on complaints made to the LGSCO about Hartlepool Borough Council (HBC) for the year ending 31 March 2019. The data shows both the complaints and the enquiries that the LGO has recorded along with any decisions they have made.

5.2 In summary, during 2018/19 the LGSCO:

- Received 25 complaints or enquiries about HBC, which is no change from the previous year.
- Of the 25, the LGSCO made decisions on 23, as follows:

Decision	Number of complaints
Advice given	1
Referred back for local resolution	6
Closed after initial enquiries	11
Detail investigation	5

- Of the 5 subject to detailed investigation, 4 were not upheld and 1 was upheld with a remedy suggested by the LGSCO.
- The uphold rate of 20% of those investigated in 2018/19 is the lowest uphold rate for the last 3 years.
- There have been 7 complaints upheld or partly upheld in the last 4 years of a total number of 89 complaints received by the LGSCO. This represents an uphold rate of 8% of the total number received over a 4 year period.
- This confirms that the HBC Corporate Complaints procedure is robust and the LGSCO only find fault in a small number of cases.

5.3 The LGSCO carried out 185 detailed investigations of complaints across the 12 North East Local Authorities (NE LA's) in 2018/19.

The average uphold rate was 50% across all 12 NE LA's with a range of 20% to 83%. Hartlepool represented the lowest across all 12 NE LA's with an uphold rate of 20%.

Further information is included in **Appendix 2**.

6. RISK IMPLICATIONS

6.1 No implications.

7. FINANCIAL CONSIDERATIONS

7.1 No implications.

8. LEGAL CONSIDERATIONS

8.1 No implications.

9. CONSULTATION

9.1 No implications.

10. CHILD AND FAMILY POVERTY

10.1 No implications.

11. EQUALITY AND DIVERSITY CONSIDERATIONS

11.1 No implications.

12. STAFF CONSIDERATIONS

12.1 No implications.

13. ASSET MANAGEMENT CONSIDERATIONS

13.1 No implications.

14. CONCLUSION

14.1 The number of complaints received by both HBC and the LGSCO has remained at similar levels for the past 4 years. There have been 7 complaints upheld or partly upheld in the last 4 years of a total number of 89 complaints received by the LGSCO. This represents an uphold rate of 8% of the total number received over a 4 year period. In 2018/19, HBC also had the lowest uphold rate in the North East region, with our uphold rate of 20% against an average of 50% for the 12 North East Local Authorities. This demonstrates that the management of Corporate Complaints is robust and the policy is applied consistently and appropriately.

15. RECOMMENDATIONS

15.1 Finance and Policy Committee are recommended to:

- Note the 2018/19 outturn position on corporate complaints received and the annual statistics on complaints made to the LGO during 2018/19.

16. REASONS FOR RECOMMENDATIONS

- 16.1 Finance and Policy Committee have responsibility for the monitoring of the Corporate Complaints, Comments and Compliments Policy and the Unreasonable Customer Behaviour Policy.

17. BACKGROUND PAPERS

- 17.1 None.

18. CONTACT OFFICER

- 18.1 Claire McLaren
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Sign Off:-

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

Appendix 1 - Corporate Complaints

Table 1: Corporate Complaints received in 2018/19

2018/19	Q1	Q2	Q3	Q4	Total Number of Corporate Complaints Received	Number of Corporate Complaints Upheld / Partly Upheld
Total Number of Corporate Complaints	12	4	2	5	23	9 (39%)
Total number of Chief Executives Corporate Complaints	3	1	0	1	5	0 (0%)
Total Number of Regeneration and Neighbourhood Corporate Complaints	3	1	0	3	7	2 (28%)
Total Number of Children's and Joint Commissioning Corporate Complaints	3	2	2	1	8	5 (63%)
Total Number of Adults and Community Based Services Corporate Complaints	3	0	0	0	3	2 (66%)

Table 2: Historical Comparison of Corporate Complaints

	2014-15		2015/16		2016/17		2017/18	
	Number of complaints	Upheld / Partly Upheld	Number of complaints	Upheld / Partly Upheld	Number of complaints	Upheld / Partly Upheld	Number of complaints	Upheld / Partly Upheld
Total Number of Corporate Complaints	22	3 (14%)	22	5 (23%)	19	9 (47%)	17	7 (41%)
Total number of CED Corporate Complaints	10	0 (0%)	8	2 (25%)	1	0 (0%)	3	1 (33%)
Total Number of RND Corporate Complaints	0	0 (0%)	7	3 (43%)	13	6 (46%)	9	5 (56%)
Total Number of CAD Corporate Complaints	4	0 (0%)	3	0 (0%)	4	2 (50%)	3	0 (0%)
Total Number of PHD Corporate Complaints	8	3 (38%)	4	0 (0%)	1	1 (100%)	2	1 (50%)

Appendix 2 - Comparison over the last 4 years

Table 1: Complaints and Enquiries Received – Hartlepool

	Adult Care Services	Benefits and Tax	Corporate and other services	Education and Children's Services	Environment Services	Highways and Transport	Housing	Planning and Development	Other	Total
2018/19	5	4	4	5	2	4	1	0	0	25
2017/18	1	3	2	6	2	6	2	3	0	25
2016/17	3	2	5	4	1	2	1	2	0	20
2015/16	3	4	2	2	2	0	1	5	0	19

Table 2: Decisions Made - Hartlepool

	Incomplete or Invalid	Advice Given	Referred back for Local Resolution	Closed after Initial Enquiries	Detailed Investigations			Total	Complaints Remedied	
					Not Upheld	Upheld	Uphold Rate		by LGO	Satisfactorily by authority before LGO Involvement
2018/19	0	1	6	11	4	1	20%	23	0	0
2017/18	2	0	7	8	3	3	50%	23	3	0
2016/17	1	0	8	7	5	2	29%	23	1	0
2015/16	0	0	7	4	4	1	20%	16	0	0

Table 3: North East Local Authorities 2018/19 Complaints and Enquiries Received

	Adult Care Services	Benefits and Tax	Corporate and other services	Education and Children's Services	Environment Services	Highways and Transport	Housing	Planning and Development	Other	Total
Hartlepool	5	4	4	5	2	4	1	0	0	25
A	11	7	1	14	4	5	2	3	1	48
B	5	6	5	7	1	3	0	0	0	27
C	3	3	2	8	5	2	1	4	0	28
D	12	2	2	6	3	1	2	3	2	33
E	23	21	9	26	26	14	5	42	4	170
F	5	5	8	15	4	9	2	6	1	55
G	11	3	4	14	3	3	12	7	0	57
H	11	2	5	15	3	5	4	6	0	52
I	10	12	7	17	10	9	2	5	1	73
J	15	9	4	20	4	12	4	22	2	92
K	8	2	2	10	3	6	8	9	1	49

Table 4: North East Local Authorities 2018/19 Decisions Made

	Incomplete or Invalid	Advice Given	Referred back for Local Resolution	Closed after Initial Enquiries	Detailed Investigations			Total	Satisfactory remedy provided by LA	
					Not Upheld	Upheld	Uphold Rate		Upheld case where LA provides satisfactory remedy before reaching LGO	Percentage of upheld cases
Hartlepool	0	1	6	11	4	1	20%	23	0	0%
J	5	1	27	31	3	15	83%	82	3	20%
D	2	3	8	12	4	11	73%	40	3	27%
I	1	1	31	26	5	9	64%	73	4	44%
F	3	0	27	14	5	8	62%	57	2	25%
C	1	0	10	7	5	5	50%	28	0	0%
G	0	6	18	20	6	6	50%	56	0	0%
K	2	5	13	16	6	6	50%	48	0	0%
H	4	3	10	20	7	6	46%	58	4	67%
B	0	0	10	9	4	3	43%	26	0	0%
A	3	0	15	12	8	5	38%	43	1	20%
E	10	1	52	47	42	11	21%	163	3	27%

FINANCE AND POLICY COMMITTEE

11th November 2019



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

Subject: HRA STRATEGIC FINANCIAL MANAGEMENT
REPORT - AS AT 30th September 2019

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 For information.

2. PURPOSE OF REPORT

2.1 The purpose of this report is to inform Members of:

- i) 2019/20 Forecast HRA Outturn; and
- ii) 2019/20 HRA performance

3. BACKGROUND AND FINANCIAL OUTLOOK

- 3.1 The HRA Business Plan presented to members in October 2017 highlighted that HRA would be in deficit for a number of years as a result of government rent cuts and benefit changes. The 2018/19 outturn deficit was higher than forecast in the Business Plan owing to a level of voids than anticipated. Action has been taken to address void levels and to secure new capital investment from Section 106 Contributions and higher levels of Homes England grant funding. This investment has provided opportunities to acquire additional high demand houses that can contribute to reducing the deficit and build financial resilience into the HRA.
- 3.2 An updated HRA Business Plan report is currently being prepared and will be submitted to a future meeting. The updated Business plan will review the recent financial performance of the HRA, including measures to tackle the deficit as well as set out proposals for future investment in empty properties, new builds acquisition and direct development of houses.

4. REPORTING ARRANGEMENTS 2019/20

- 4.1 The HRA is a ring fenced account, separate from the General Fund with its own financial and performance issues. As the HRA is now becoming more mature a separate quarterly report for the HRA will now be submitted to I provide a comprehensive analysis of the forecast outturn and explanation of the significant budget variances. This report will enable the Committee to approve a strategy for addressing any financial issues and challenges facing the HRA. The report will also be provided to the Regeneration Committee.

5. 2019/20 HRA FORECAST OUTTURN_AS AT 30TH SEPTEMBER

- 5.1 A summary of the latest HRA forecast is shown in the table below. Details of the HRA budget and forecast outturn are included in Appendix A.

2018/19 Outturn £'000		2019/20 Budget £'000	Forecast Outturn £'000	Variance £'000
(1,056)	Income	(1,229)	(1,203)	26
1,246	Expenditure	1,282	1,253	(29)
190	HRA (Surplus) / Deficit	53	50	(3)
537	HRA Opening Balance	347	347	0
347	HRA Closing Balance	294	297	(3)

- 5.2 The HRA is forecast to report a deficit of £50,000, which is in line with the budgeted deficit of £53,000. This is a significant improvement compared to the 2018/19 outturn deficit of £190,000 and reflects the actions taken to tackle the deficit. These include maximising the use of Section 106 contributions to match fund Homes England grant in acquiring additional high quality homes. These contribute to reducing the deficit through increased rental income without borrowing costs and lower repairs and void related costs. Also, the letting of 17 long term voids to 'Mears' for 7 years has reduced the projected level of void rent lost.
- 5.3 Expenditure is lower than budget owing to the amount required to be set aside for bad debt is lower than budget following a review of the aged debt profile of current and former tenant arrears. Also the amount required to be set aside for major repairs is less than budget as result of the timing of capital expenditure.
- 5.4 Borrowing costs remain at the same as last year following the use of Section 106 contributions instead of approved borrowing to fund HRA capital investment in 2018/19. This 'funding swap' was used to help reduce the HRA deficit by deferring borrowing costs until other sources of funding are used up first. This issue will be covered in greater detail in the HRA Business Plan Update report to be presented to members later in the year.

6. HRA RESERVE

- 6.1 The HRA Account is ring-fenced, thus the reserve can only be used for the purposes of the HRA. It is also the only source of funding available to fund the HRA annual deficit and therefore must be kept at a level which meets the needs of the HRA budget to ensure the account remains viable. Based on the projected outturn position shown above, the 2019/20 opening balance of £347,000 will reduce by the £50,000 deficit to £297,000. The Business Plan update will provide further information in relation to the HRA Reserve.

7. HRA PERFORMANCE INDICATORS

- 7.1 This section details the key performance indicators for the HRA.

7.2 Additions to Council Housing Stock

The table below shows the current housing stock held.

	Units
Opening Balance	
Available to Let	269
Under Renovation - Empty Homes	5
Under Renovation - Church Street Flats (ISQ)	2
	276
Additions as at 30th September, 2019	
New Build	11
Empty Homes	5
Lealholm conversion	1
Transfers from Thirteen	2
	19
Current Stock	295

- 7.3 In addition to dwellings shown above, the Council is committed to acquiring a further 8 empty properties which will be renovated and available to let in 2020/21. Grant through Homes England has been approved for these acquisitions.

7.4 Void Properties

- 7.5 The transfer of 17 long term void properties to 'Mears' as a sub-contract lease for a period of 7 years from 30th August 2019. This has a significant impact on the level of long term voids, which have reduced from 9% to 2%.

- 7.6 The loss of rent from void properties for the year to date is £48,000. Of this, £30,000 relates to fifteen properties which have now been transferred to Mears and £9,000 to five properties that have been allocated as refugee properties from 21st October, 2019. Therefore the void loss for quarter 3 is expected to be much lower without being significantly impacted by low demand properties and will reflect a normal level of property turnover.

7.7 Percentage of Rent collected

- 7.8 The percentage of rent collected in quarter 2 was 97%. Whilst this is considered an acceptable level of rent collected a future target of 98% will be set through the HRA business plan. The level of rent arrears is predominantly due to the increase in Universal Credit claimants and the difficulties associated with managing a UC claim and payments being made direct to tenants.

8 CONCLUSION

- 8.1 The HRA has undergone a period of challenge which resulted in a deficit of £190,000 in 2018/19. Corrective action has now been taken to reduce the level of long term voids and additional housing stock has been acquired using grant funding and section 106 developer contributions which has helped to generate net surplus rent income. This action reduced the forecast deficit to £50,000 in 2019/20, which is broadly in line with the budgeted deficit of £53,000.
- 8.2 A new HRA Business Plan will be reported to the next meeting to show the medium and long-term forecast and proposals for the continued expansion of the HRA stock.

9. RECOMMENDATIONS

- 9.1 It is recommended that Members:

i) Note the report;

10. REASONS FOR RECOMMENDATIONS

- 10.1 To update the Finance and Policy Committee on the HRAs financial position.

11. BACKGROUND PAPERS

- 11.1 HRA Business and Asset Management Plan
Finance & Policy Committee, October 2017

12. CONTACT OFFICERS

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Table 1: Housing Revenue Account for 2019/20 as at 30th September, 2019

2018/19 Outturn £'000		2019/20 Budget £'000	Projected Outturn £'000	Variance £'000
	Income			
(1,028)	Dwelling Rents	(1,202)	(1,175)	27
(23)	Non-dwelling Rents - Other Income	(21)	(25)	(4)
(5)	Charges for services and facilities	(6)	(3)	3
(1,056)	Income sub total	(1,229)	(1,203)	26
	Expenditure			
235	Repairs and maintenance	226	226	0
296	Supervision and management	313	310	(3)
46	Rents, rates, taxes and other charges	31	33	2
31	Provision for bad or doubtful debts	45	34	(11)
293	Depreciation (Major Repairs Allowance)	308	293	(15)
2	Discretionary Housing Payments	10	4	(6)
10	Debt Management costs	16	13	(3)
333	Net Interest payable	333	340	7
1,246	Expenditure sub total	1,282	1,253	(29)
190	HRA (Surplus) / Deficit for the year	53	50	(3)
	Movement on the HRA Reserve			
(537)	HRA Reserve Opening Balance	(347)	(347)	0
190	(Surplus)/Deficit for the year	53	50	(3)
(347)	HRA Reserve Closing Balance	(294)	(297)	(3)

FINANCE AND POLICY COMMITTEE

11th November 2019



Report of: Corporate Management Team

Subject: STRATEGIC FINANCIAL MANAGEMENT REPORT
- AS AT 30th SEPTEMBER 2019

1. TYPE OF DECISION/APPLICABLE CATEGORY

For information.

2. PURPOSE OF REPORT

2.1 The purpose of this report is to inform Members of:

- i) 2019/20 Forecast General Fund Outturn;
- ii) Corporate Income Collection Performance; and
- iii) 2019/20 Capital Programme Monitoring.

3. BACKGROUND AND FINANCIAL OUTLOOK

- 3.1 As Members will be aware from previous reports there were significant over spends within Departmental budgets in each of the last 3 financial years reflecting continuing service pressures, particularly in relation to Looked after Children. These pressures commenced in 2016/17 and have been recognised within the MTFS, with one off resources allocated to support the recurring budget.
- 3.2 The pressures in relation to Looked after Children are continuing in 2019/20 and it is anticipated they will continue in 2020/21. The Medium Term Financial Strategy report considered on 30th September detailed a strategy for funding these additional costs.

4. REPORTING ARRANGEMENTS 2019/20

- 4.1 The availability and reporting of accurate and up to date financial information is increasingly important as future budget cuts are implemented and one-off resources are used up.
- 4.2 This Committee will continue to receive regular reports which will provide a comprehensive analysis of departmental and corporate forecast outturns,

including an explanation of the significant budget variances. This will enable the Committee to approve a strategy for addressing the financial issues and challenges facing the Council.

- 4.3 To enable a wider number of Members to understand the financial position of the Council and their service specific areas each Policy Committee will receive a separate report.

5. GENERAL FUND BUDGET 2019/20 FORECAST OUTTURN

- 5.1 An updated assessment of the forecast 2019/20 outturn has been completed and a departmental over spend of £590,000 is anticipated compared to the previous outturn of £850,000. A strategy for addressing the previous forecast outturn had been approved as part of the 2020/21 MTFS report considered on 30th September 2019, which was based on releasing one off reserves to fund the 2019/20 overspend and provide one-off funding towards continuing LAC costs in 2020/21.
- 5.2 The reduction in the forecast outturn will be reflected in the next MTFS report to enable Members to consider this issue in the context of the overall financial position facing the Council for 2020/21.
- 5.3 **Appendix A** provides a summary of the overall position. The 2019/20 outturn has been prepared to reflect expenditure incurred to date and forecast to be incurred in the rest of the financial year. As Members will be aware from previous years significant elements of the Council's budget are demand led and affected by expenditure over the winter months, including care costs in relation to older people and winter maintenance. The outturn forecasts will be closely monitored and regular updates will be reported to this Committee.

Chief Executives

- 5.4 As identified in **Appendix B** a net underspend of £0.350m is forecast at the end of the year within the Chief Executive's Department. This mainly consists of one-off funding from various grant regimes and staff turnover.

Children's and Joint Commissioning Services

- 5.5 As identified in **Appendix C** a net overspend of £0.850m is forecast at the end of the year within Children's and Joint Commissioning. This is in line with the figure reported for the period ending 31st July 2019 however the underlying budget pressure within Looked After Children related costs has increased to £1.350m (from £1.241m), with this partly offset by increased one-off underspends of £0.510m (was £0.391m). These one-off underspends include slippage in the commencement of a housing related support contract, one-off income from the CCG and incremental drift and staff vacancies over and above the annual salary abatement target.
- 5.6 A strategy for dealing with these pressures in both the current year and 2020/21 was agreed as part of the 'Medium Term Financial Strategy 2020/21 to 2021/22', considered on 30th September 2019.

Public Health Grant

- 5.7 Following significant cuts to the Public Health grant since 2014/15 (funding has reduced by £1.6m, equating to nearly 16% in cash terms) this is the first financial year where no underspend against the Public Health grant is forecast. The ring-fenced Public Health reserve is being used to support the overall Public Health budget.

Adult and Community Based Services

- 5.8 A £100,000 favourable variance is currently forecast which represents 0.3% of the net Adult and Community Based Services budget. However, it is still early in the year and demand within Adult Social Care can increase over the winter period and the nature of some of the placements could result in a significant increase in costs if there is a change in individuals circumstances or an increase in demand.
- 5.9 **Appendix D** also identifies some underlying budget pressures within Community Hubs, Leisure Centres, packages of care for Adults with a Learning Disability and costs relating to Deprivation of Liberty Safeguards (DoLS). These pressures are funded in the current year from one-off underspends mainly arising from staff vacancies and incremental drift. Work is on-going to reduce these budget pressures and these areas will be closely monitored as the year progresses

Regeneration and Neighbourhoods Department

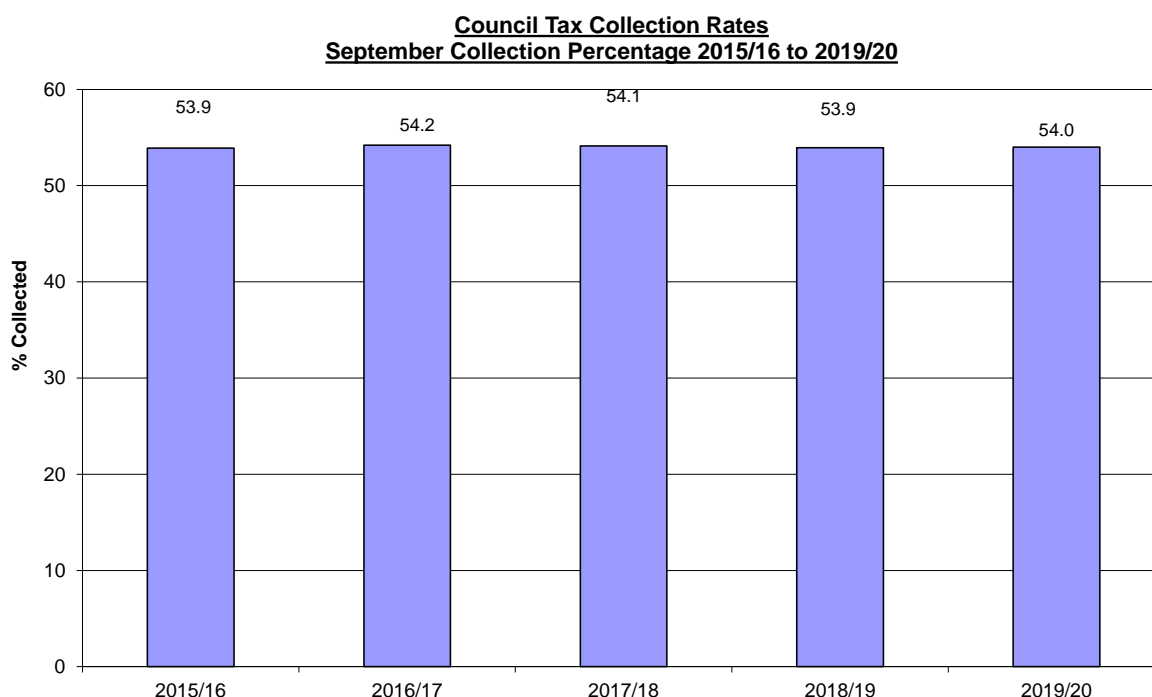
- 5.10 The main reason for the overspend is a forecast adverse variance of £190,000 for Passenger Transport. This reflects the increased pupil numbers accessing 'Special Educational Needs' transport, including transport outside of the borough. This is the same variance reported at Quarter 1, which means there has been no further increase in costs following the new cohort which started in September 2019.
- 5.11 Detailed financial information on the projected outturn for individual Departments by Committee is provided in **Appendices B to E**.

6. Corporate Income Collection Performance

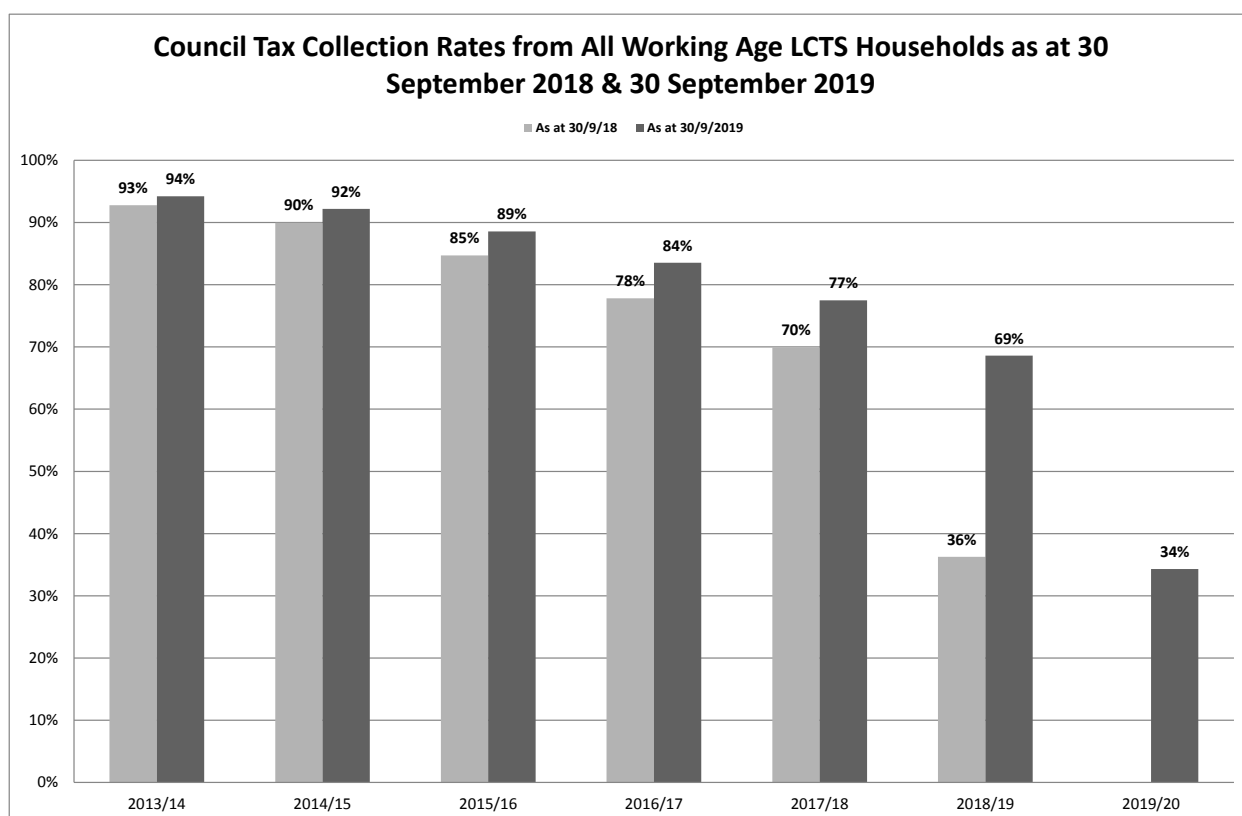
- 6.1 Previous reports advised Members that significant changes were implemented with effect from 1st April 2013 to re-localise Business Rates and implement Local Council Tax Support schemes. As a result of these changes approximately 58% (i.e. £56m) of the net General Fund budget is funded from a combination 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

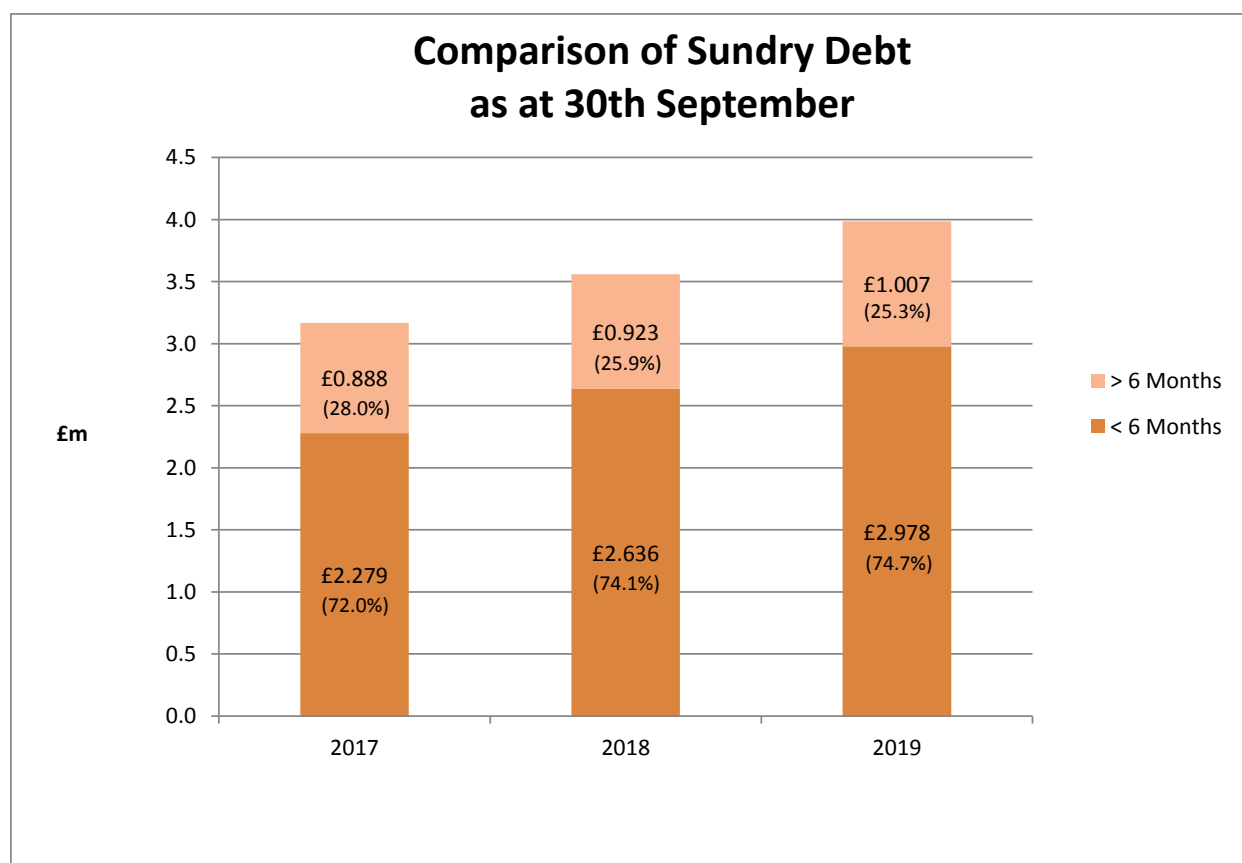
- 6.3 The re-localisation of Business Rates is a significant additional financial risk for Local Authorities to manage as 50% of any shortfall arising from either nonpayment by businesses, or reductions arising from the Valuation Office re-assessing rateable values, falls on individual authorities. A 'safety net' system is in operation, although this only compensates authorities for any shortfalls above the 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 (national average 97.9% for unitary and metropolitan councils). The changes associated with localisation of business rates make this an even more important issue for the Council.
- 6.5 At the 30th September 2019 the Council had collected 55.0% of the 2019/20 liability, down by 0.7% compared to the same period last year.
- 6.6 The Council vigorously pursues recovery of Business Rates and has completed the liquidation of 4 companies, has commenced bankruptcy proceedings against 1 trader and is in the process of liquidating a further 2 companies. Furthermore, the threat of liquidation proceedings secured payments of £43,000 from a further two companies.
- ## 6.7 Council Tax
- 6.8 The overall Council Tax collection rate at 30th September 2019 was 54.0% compared to 53.94% for the same period last year, up slightly by 0.06%, as summarised in the graph below reflecting a broadly stable position.



- 6.9 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).
- 6.10 There are approximately 8,100 working age households who receive LCTS. The Council monitors closely levels of collection from these households which have been impacted by a range of national welfare reforms. The following graph shows that collection from these households is positive, albeit there are the forecast time lags in securing collection.



- 6.11 Collection of Council Tax from LCTS households continues to be within the financial planning parameters that underpin the Council's LCTS scheme.
- 6.12 **Sundry Debts**
- 6.13 The Council also collects significant Sundry Debts income for the payment of services provided by the Council. In total £18.810m of sundry debts were raised in the first six months of 2019/20. As at 30th September 2019, £15.866m (84.34%) of this amount had been collected.
- 6.14 Robust procedures for collecting the remaining outstanding debt are in place. The following graph shows the comparable positions at 30th September for the last three years for long term debt and current debt which has been outstanding for less than six months.



- 6.15 Outstanding debts total £3.985m as at 30th September 2019, of which £2.978m (74.73%) relates to current debts (less than 6 months old).
- 6.16 Included within the current debts (less than 6 months old) is debt where the customer has been invoiced for the whole of 2019/20 but payment is to be received in instalments throughout the year.
- 6.17 Debts greater than 6 months old total £1.007m. 97.84% of this amount is under recovery action and 2.16% (£21,795) is now considered unrecoverable and will be reported to Members for write off.
- 6.18 The graph shows an increasing trend in both the amount of total debt and debt over 6 months old. The main reason for this is an increase in debt collected in instalments and an increase in the value of the debt raised in the area of residential and social care. Regular monitoring with the responsible departments is in place to manage the debt in these areas.

7. Capital Receipts Target

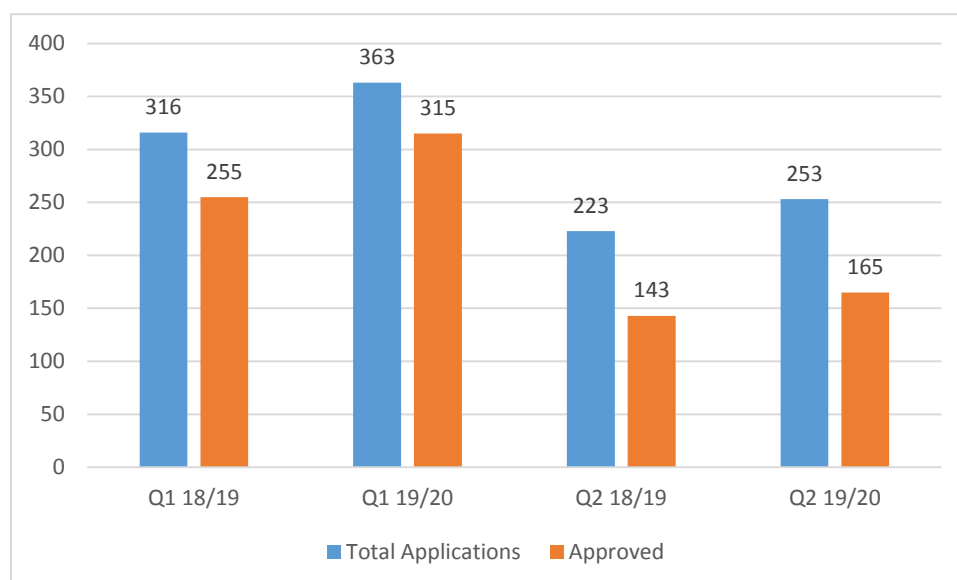
- 7.1 The Council previously set a capital receipt target to provide funding to offset the removal of HMR (Housing Market Renewal) funding in 2011. Owing to the challenging economic conditions over the last few years these capital receipts have taken longer to achieve than initially anticipated. The final costs in relation to the HMR scheme have been settled and the resulting underspend of £43,000 can be used to reduce the current capital receipts target of £2.412m to £2.369m.

- 7.2 The sale of land at Brierton was approved at Finance and Policy Committee on 22nd July 2019. Upon completion this will make a significant contribution to the remaining capital receipts target. In addition officers are progressing the sale of land at Hart for completion in the current financial year. In addition, land at Seaton Lane is being transferred to the HRA at market value of £0.217m as part of a housing development agreement which will deliver additional homes for the HRA in the future. It is anticipated that these receipts should cover the majority of the remaining capital receipts target.

8. Discretionary Housing Payments (DHP)

- 8.1 Discretionary Housing Payments are additional short term emergency payments to help with rent or housing costs. In order to be eligible for payments the claimant 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 they are unable to meet their housing costs as they have no available income.
- 8.2 The 2019/20 Discretionary Housing Payments budget is £0.361m (£0.456m in 2018/19) and spend as at 30th September 2019 is £0.162m (£0.210m in 2018/19). The budget is expected to be fully committed by the end of the financial year.
- 8.3 The Table below shows the total number of applications received and the number of those where a DHP has been approved.

DHP – Total number of applications compared to those approved in 2018/19 and 2019/20



9. Local Welfare Support (LWS)

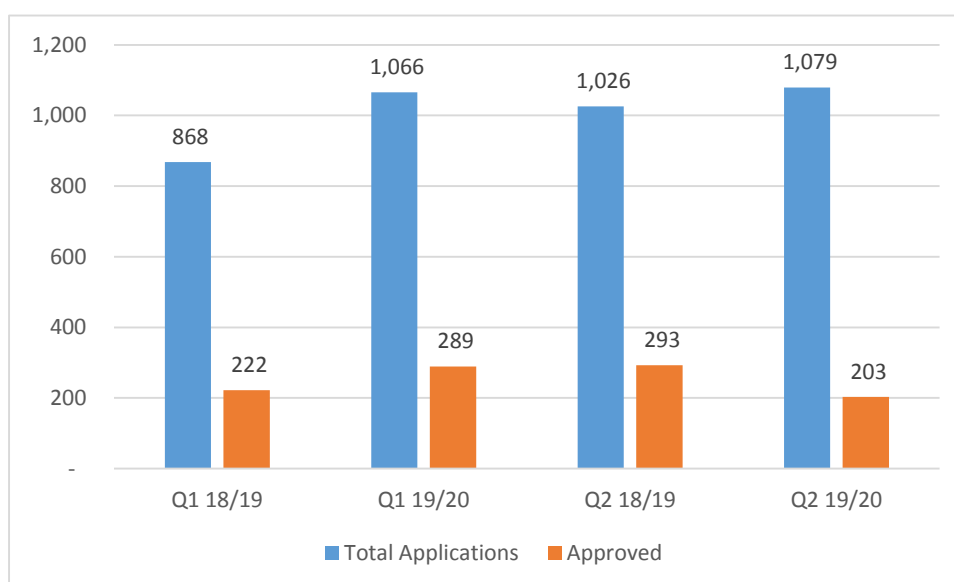
9.1 Local Welfare Support is a short term emergency fund to help those who find themselves in a financial crisis. It includes:-

- ‘In Crisis’ Awards - for those who present to the Council in immediate need
- ‘Non-Crisis’ Awards - for those not in immediate need but require help with purchasing household goods

9.2 The 2019/20 Local Welfare Support budget is £0.198m (£0.194m in 2018/19) and spend as at 30th September 2019 is £0.072m (£0.83m in 2018/19). The budget is expected to be fully committed by the end of the financial year.

9.3 The Table below shows the total number of applications received and the number of those where a LWS payment has been approved.

LWS – Total number of applications compared to those approved in 2018/19 and 2019/20



9.4 There are a number of reasons why a LWS payment may not be approved including an increase in the number of voluntary and community sector organisations offering and providing services where the Council can ‘signpost’ claimants to receive the necessary support. This allows the limited budget to be used to target those who cannot receive support elsewhere.

10. 2019/20 Capital Programme Monitoring

10.1 In the current financial year the Council is currently managing over 150 individual capital schemes with a total budget of £53.904m. These capital schemes are funded from a range of sources:-

- Grant - this is funding the Council has secured from external sources and can only be used in accordance with specific grant conditions. This

funding also included schemes funded from Section 106 agreements linked to planning applications

- Capital Receipts – funding received by the Council following sale of an asset (e.g. Land or Buildings)
- Contribution from Revenue budget (RCCO) – funding transferred from the Council's revenue budgets to fund capital expenditure
- Borrowing – this is where the Council has taken out a loan to be repaid over the life of the asset it is funding. The loan repayment costs are included in the base budget, or the specific business case for the project.

10.2 In a number of cases the capital schemes are funded by more than one of these funding sources as it will have been necessary to match fund or combine funding sources in order to arrive at the required budget.

10.3 Funding for all capital budgets reported to Members has been secured and officers are managing these schemes against the available budget. Any changes to these budgets are made in line with the capital virement rules included within the Council's Constitution.

10.4 Capital Expenditure for all departments to the 30th September 2019 is summarised in the table below.

Department	BUDGET	EXPENDITURE IN CURRENT YEAR				
	A	B	C	D	E	F
	2019/20 Budget £'000	2019/20 Actual as at 30/09/19 £'000	2019/20 Expenditure Remaining £'000	Expenditure Rephased into 2020/21 £'000	(B+C+D) 2019/20 Total Expenditure £'000	(E-A) 2019/20 Variance from Budget £'000
Adult & Community Based Services	2,258	702	1,179	377	2,258	0
Children's & Joint Commissioning Services	6,623	1,163	5,361	99	6,623	0
Regeneration & Neighbourhood Services	41,084	6,408	11,984	22,692	41,084	0
Chief Executives	130	0	130	0	130	0
Corporate	2,764	545	2,144	75	2,764	0
Total Capital Expenditure	52,859	8,818	20,798	23,243	52,859	0

10.5 Actual expenditure to 30th September 2019 was £8.818m, compared to a 2019/20 budget of £52.859m; £23.243m has been rephased to 2020/21 leaving £20.798m to be spent during the remainder of 2019/20. The rephased amount reflects the expected profile of expenditure to be incurred and resources will be rephased accordingly. The main items included within this are:

- A19, Grade Separated Junction, Elwick Bypass and Hartlepool Western Link - £16.5m
- Section 106 contributions to be allocated to future schemes - £2.5m
- Council Housing - £0.9m

- 10.6 There is a longer lead in time for capital schemes and therefore it is not unusual for expenditure to be low at this stage of the year.
- 10.7 Detailed financial information on the capital programme for individual Departments by Committee is provided in **Appendices F to J**.

10.8 Section 106 Developers Contributions

- 10.9 The level of contributions for housing and non - housing service areas as at 30th September 2019 is summarised in the following table. A detailed breakdown is included in **Appendix K**.

Section 106 Funding	Affordable Housing Contributions £000	Other Service Areas £000	Total £000
Amount brought forward as at 1st April, 2019	1,666	996	2,662
Amounts Received as at 30 th September, 2019	367	380	747
Expenditure Incurred in 2019/20	(900)	0	(900)
Balance Remaining as at 30th September, 2019	868	2,372	2,509

11 CONCLUSION

- 11.1 The Council over spent against the Departmental budgets in each of the last three financial years and used one-off resources to balance overall expenditure. This position reflected pressures in Children's Services which are continuing in 2019/20. These pressures are affecting the majority of councils with responsibility for these services.
- 11.2 As detailed in Section 5 a 2019/20 departmental revenue budget over spend of £590,000 is forecast. This mainly reflects continuing Looked after Children pressures.
- 11.3 The reduction in the forecast outturn will be reflected in the next MTFS report to enable Members to consider this issue in the context of the overall financial position facing the Council for 2020/21.

12. RECOMMENDATIONS

12.1 It is recommended that Members:

- i) Note the report;
- ii) Note the forecast 2019/20 departmental revenue budget over spend of £590,000 which mainly relates to the costs of Looked After Children.

13. REASONS FOR RECOMMENDATIONS

To update the Finance and Policy Committee on the Council's financial position and to enable Members to make decisions as part of the overall budget process for 2019/20.

14. BACKGROUND PAPERS

Medium Term Financial Strategy 2020/21 to 2022/23 and Financial Outlook from 2021/22 report to Finance and Policy Committee 30.09.19.

Quarter 1 Strategic Financial Management Report to Finance and Policy Committee 30.09.19.

15. CONTACT OFFICER

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Chris.little@hartlepool.gov.uk
01429 523002

Sign Off:-

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

Summary of 2019/20 Forecast General Fund Outturn

	Forecast - Overspend/ (Underspend)
	£'000
Departmental Budgets	
Adult & Community Based Services	(100)
Children's & Joint Commissioning	850
Chief Executive	(350)
Regeneration & Neighbourhoods	190
Total Departmental Forecast Budget Overspend	590

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2019/20 as at 30th September 2019

Approved 2019/2020 Budget £'000	Description of Service Area	Forecast Outturn as at 30th September 2019 Adverse / (favourable) £'000	Director's Explanation of Variance
Finance and Policy Committee			
(145)	Benefits	(136)	Favourable variance owing to vacant posts, and a further £90k in additional one-off grant from DWP for Housing Benefit and Universal Credit New Burdens and Verify Earnings and Pension Alerts.
(949)	Central Administration Recharges	0	
36	Civic Attendants	0	
132	Communications and Marketing	58	The adverse variance is owing to a reduction in income generation, which is partly offset by vacant posts for part of the year and staff not being at the top of the grade.
1,000	Corporate Finance	(67)	The favourable variance is owing to vacant posts and posts not being at the top of the grade.
618	Corporate Strategy & Public Consultation	(75)	The favourable variance is owing to vacant posts for part of the year, posts not being at the top of the grade and some supplies and services savings.
(143)	Housing Benefits Subsidy	(100)	The grant generates £28m in subsidy, but the grant is reducing along with the current transfer rate of claimants across to Universal Credit. The favourable variance is as estimated as part of the Mid Year Review, and will continue to be reviewed during the year.
163	Democratic	0	
921	Customer and Support Services	(20)	The favourable variance is owing to posts not being at the top of the grade and additional one-off grant to fund staff support.
463	Human Resources & Health and Safety	(9)	A favourable variance owing to vacant posts for part of the year and posts not being at the top of the grade, which is offset by a reduction in income.
237	Internal Audit	0	
491	Legal Services	30	The adverse variance is owing to a reduction in income generation.
163	Municipal Elections and Registration of Electors	10	The adverse variance is owing to an additional bi-election.
(6)	Other Office Services	30	The adverse variance is owing to a reduction in income generation received from Local Land Searches.
47	Procurement	0	
(118)	Registration Services	30	The adverse variance is owing to a reduction in income generation on both birth and death registration resulting from services being transferred to North Tees Hospital.
(48)	Reprographics	(20)	The favourable variance is owing to a saving on leasing expenditure.
933	Revenues	5	The adverse variance is owing to a reduction in the Bailiff section income generation and additional credit card commission charges.
(541)	Revenue & Benefits Central	0	An adverse variance owing to a reduction in the grant for Non Domestic Rates of £24k is offset by an estimated favourable variance on Court Costs collected, this will be reviewed during the year.
98	Scrutiny	0	
523	Shared Services	(32)	The favourable variance is owing to savings on software maintenance and additional income.
131	Support to Members	0	
10	Training & Equality	0	
426	Corporate Management Running Expenses	(54)	The favourable variance is owing to a post not being at the top of the grade and savings on the Corporate subscriptions budget.
4,442	Finance and Policy Committee Total	(350)	

**CHIEF EXECUTIVES
PLANNED USE OF RESERVES**

7.3 Appendix B

The above figures include the 2019/2020 approved budget along with the planned use of Departmental Reserves created in previous years.
The details below provide a breakdown of these reserves

Approved 2019/2020 Budget £'000	Description of Service Area	Actual Usage 2019/2020 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
Finance and Policy Committee				
5	Corporate Strategy - Performance Management	5	0	
2	Public Relations	2	0	
2	Civic Responsibilities	2	0	
25	Municipal Elections and Registration of Electors	25	0	
25	Corporate Training Programme	25	0	
70	Human Resources & Health and Safety Loss of Income	70	0	
24	Human Resources & Health and Safety Extension of Fixed Term Contract	24	0	
34	Human Resources & Health and Safety - Resourcelink post.	34	0	
24	Finance - IT Investment Shared Services	24	0	
18	Digital Development of Firmstep	18	0	
9	PSN Compliance & Contingency	9	0	
11	Corporate Apprenticeship Reserve	11	0	
178	Chief Executive's Department Ring Fenced Grants	178	0	
427	Total	427	0	

CHILDREN'S & JOINT COMMISSIONING SERVICES

7.3 Appendix C

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2019/20 as at 30th September 2019

Approved 2019/2020 Budget £'000	Description of Service Area	Forecast Outturn as at 30th September 2019 Adverse / (favourable) £'000	Director's Explanation of Variance
Children's Services Committee			
16,420	Children & Families	1,350	LAC numbers have continued to increase since the budget was set across all placement types - in-house, IFA and residential. In addition, the number of children subject to Child Arrangement and Special Guardianship Orders have also increased. These increased placements also impact on staffing requirements and legal costs relating to care proceedings.
1,711	Early Intervention Services	(330)	This mainly relates to slippage in commencement of a housing contract and staff vacancies and incremental drift within the Early Help service area.
5	Play & Care	30	This relates to an historic shortfall of income against the target budget.
275	Standards, Engagement & Development	(10)	
1,228	Strategic Commissioning	(100)	The favourable variance mainly relates to income received from the CCG and staff vacancies.
274	Youth Justice Service	(40)	The favourable variance mainly relates to staff vacancies (which have now been filled) and incremental drift.
134	Access to Education	(10)	
167	Central Support Services	0	
512	Other School Related Expenditure	(10)	Reduced liability for historic pension costs.
489	Raising Educational Achievement	60	Income shortfall for School Improvement Service. This service is under review.
251	Special Educational Needs	(40)	Savings from vacancies.
269	Strategic Management	(50)	Salary savings resulting from late appointment and staff not being at the top of the grade.
346	Youth Service	0	
22,081	Children's and Joint Commissioning Services	850	
Public Health			
2,875	Public Health - Commissioning	0	Public Health reserves being used to balance the budget by funding budget pressures within this area.
2,281	Public Health - Substance Misuse	0	Reserve funding being used to support this budget area
1,901	Public Health - Children's	0	
913	Public Health - Statutory & Support Services	0	Public Health reserves being used to balance the budget by funding budget pressures within this area.
335	Public Health - Adults	0	
278	Public Health - Physical Activity	0	
(8,533)	Public Health Main Grant	0	
50	Public Health Grant	0	
22,131	Children's and Joint Commissioning Services Total (inc Public Health Grant) Before Creation of Reserves	850	

**CHILDREN'S & JOINT COMMISSIONING SERVICES
PLANNED USE OF RESERVES**

7.3 Appendix C

The above figures include the 2019/2020 approved budget along with the planned use of Departmental Reserves created in previous years.
The details below provide a breakdown of these reserves

Approved 2019/2020 Budget £'000	Description of Service Area	Actual Adverse/ (Favourable) £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
Children's Services Committee				
52	Early Help / 0-19 Service	52	0	Use of Public Health Reserve to support initiatives within the Early Help and 0-19 Service in 19/20
50	5-19 Youth Contract	50	0	Funded from Child & Family Poverty Reserve as agreed by F&P 21/03/19
6	Development Team	6	0	
125	UASC Specific Grant Reserve	125	0	Use of reserve to fund posts to support unaccompanied asylum seeking children and care leavers for whom the Council have responsibility
14	Children's Hub IT Reserve	14	0	Contribution to IT upgrades within the Hub
45	Selective Licensing Scheme	45	0	Funding required to support the Housing Licensing budgets in 2019/20
53	EYES	53	0	Funding for implementation of EYES system.
345		345	0	
Public Health				
35	Contribution to Holiday Gap Initiatives	35	0	Funded from Child & Family Poverty Reserve as agreed by F&P 9/07/18
30	Safe Families Project	30	0	Funded from Child & Family Poverty Reserve as agreed by F&P 22/07/19
78	Various Public Health Initiatives	78	0	Public Health Reserve being used to support the 2019/20 Public Health budget across a range of schemes.
300	Specialist Drug Services / Residential Rehabilitation	300	0	Funding additional staffing capacity within the Substance Misuse Team and residential rehabilitation costs for adults requiring treatment for drug and alcohol abuse.
443		443	0	
788	Children's and Joint Commissioning Services Total (inc Public Health Grant)	788	0	

MEMO:-	Dedicated Schools Grant	Actual Outturn Adverse/ (Favourable)	Director's Explanation of Variance
6,005	Early Years	100	Underspending against 3-4 year old entitlement and Disabled Access Funding (DAF). Offset by funding shortfall against 2 year old entitlement. Overspend to be funded from existing Early Years reserve.
9,745	High Needs	470	Latest outturn projection reflecting increase in demand. Overspend to be managed and funded from existing reserves.
56	Schools and Central Services	30	
15,806	TOTAL Dedicated Schools Grant	600	

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2019/20 as at 30th September 2019

Approved 2019/2020 Budget £'000	Description of Service Area	Forecast Outturn as at 30th September 2019 Adverse / (favourable) £'000	Director's Explanation of Variance
Adult & Community Based Services Committee			
0	Carers	0	
2,364	Commissioning & Adults General	10	
1,253	Community Hubs	45	The adverse variance reflects a budget pressure linked to proposed closure of branch libraries in 2018/19 that has not been implemented.
234	Departmental Running Costs	0	
668	Direct Care & Support Team	(60)	The favourable variance mainly relates to staff vacancies and incremental drift.
638	LD & Transition Social Work	(20)	The favourable variance mainly relates to incremental drift.
1,868	Locality & Safeguarding Teams	45	The adverse variance mainly relates to the unfunded costs of Deprivation of Liberty Safeguards which introduced new statutory responsibilities on Council's following a Supreme Court Judgement in 2014. These costs were funded from temporary iBCF grant in 2017/18 and 2018/19 and have been partly offset in the current year by staff vacancies.
930	Mental Health Services	10	
1,309	Occupational Therapy Services	(85)	The favourable variance mainly relates to staff vacancies (which have now been filled) and increased income.
1,643	Packages of Care - Mental Health	(25)	
10,934	Packages of Care - Older People	0	
8,867	Packages of Care - Working Age Adult	(50)	There are underlying pressures within packages of care for adults with a learning disability however these are being offset in the current year by increased recovery of Direct Payment contingency payments.
21	Substance Misuse - Operational	0	
524	Sport, Leisure and Recreation	85	The adverse variance is the result of a shortfall in income for the leisure centres and Carlton Adventure. The projection is after accounting for the £50k contribution from Public Health reserves.
1,155	Working Age Adult Day Services	(55)	The favourable variance mainly relates to timing differences in implementing the changes to the current service delivery model.
32,408	Adult & Community Based Services Committee Total	(100)	

PLANNED USE OF RESERVES

The above figures include the 2019/2020 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
Adult & Community Based Services Committee				
50	Public Health Reserve - Sport, Leisure & Recreation Facilities	50	0	This reserve will contribute towards income shortfalls across Sport, Leisure & Recreation
0	Adult Social Care Reserve - Community Led Support	99	0	This reserve is contributing towards the costs of the Community Led Support Programme
77	Public Health Reserve - GP Referral & EDAN	77	0	
44	Public Health Reserve - Wellbeing Strategy	44	0	This reserve is part-funding the Life Intervention Officers within the Community Hubs
13	Wellbeing Strategy	13	0	This reserve is contributing towards the Life Intervention Officers within the Community Hubs
184	Adult & Community Based Services Committee Total	283	0	

REGENERATION AND NEIGHBOURHOODS

7.3 Appendix E

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2019/20 as at 30th September 2019

Approved 2019/2020 Budget £'000	Description of Service Area	Forecast Outturn as at 30th September 2019 Adverse / (favourable) £'000	Director's Explanation of Variance
Finance & Policy Committee			
1,120	Facilities Management	0	
621	Strategic Management, Admin & Service Development	(110)	The favourable variance relates to forecast underspend on salary costs as a result of vacant posts across the department.
1,741	Finance & Policy Committee Sub Total	(110)	
Regeneration Committee			
22	Adult Education	0	
754	Cultural Services	45	Adverse variance relates to forecast shortfall in income at the Town Hall Theatre and Borough Hall.
429	Economic Regeneration	(65)	Relates mainly to savings on non staffing budgets as part of managing the departments overall budget position.
(8)	Employment & Skills	0	
317	Planning & Development	160	The adverse variance relates to a potential shortfall in income from planning fees. It is difficult to predict the outturn in this area as approximately 80% of the fee income comes from large scale projects and the timing of these applications are difficult to predict.
0	Planning & Development - Contribution from Reserves	(100)	Income equalisation reserve used to fund the income shortfall in 2019/20.
(76)	Strategic Asset Management	50	Adverse variance relates to a shortfall in income.
1,438	Regeneration Committee Sub Total	90	

REGENERATION AND NEIGHBOURHOODS
7.3 Appendix E

Approved 2019/2020 Budget	Description of Service Area	Actual Adverse/ (Favourable)	Director's Explanation of Variance
£'000		£'000	
Neighbourhood Committee			
148	Archaeology	5	Shortfall in fee income. The team is working to secure additional funding streams in year.
(305)	Building Team Design	130	The adverse variance relates to a forecast shortfall in fee income from capital schemes.
(785)	Car Parking & Enforcement	80	There has been a reduction in income achieved from parking charges during quarter 1 to quarter 2, due to a decrease in the number of vehicles parking in our facilities, coupled with a reduction in enforcement due to staff shortages.
(111)	Coast, Countryside & Heritage	0	
1,017	Community Safety & Engagement	(10)	Relates mainly to temporary borrowing savings in relation to CCTV.
(133)	Construction Support Services	0	
112	Construction Team	20	
315	Engineering Services (incl Coastal Protection and Contaminated Land)	0	
2,938	Environmental Services	0	
(324)	Highways Trading	0	
2,641	Highways Maintenance & Transportation	0	
24	General Allotments	0	
1,403	Passenger Transport	200	The adverse variance reflects the level of SEND home to school transport provision. This has been reviewed for the new school cohort starting from Septemeber and is consitstent with the forecast provided at quarter 1.
838	Public Protection	0	
133	Road Safety	0	
890	Street Lighting	60	Adverse variance reflects efficiency savings not being fully realised in 2019/20.
2,368	Sustainable Transport	(75)	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.
(119)	Vehicle Fleet	(200)	Temporary prudential borrowing savings from extending the life of assets and maintenance savings in relation to new vehicles.
5,276	Waste & Environmental Services	0	
16,326	Neighbourhood Committee Sub Total	210	
19,505	Regeneration & Neighbourhoods Total	190	

REGENERATION AND NEIGHBOURHOODS PLANNED USE OF RESERVES

7.3 Appendix E

The above figures include the 2019/2020 approved budget along with the planned use of Departmental Reserves created in previous years.
The details below provide a breakdown of these reserves

Approved 2019/2020 Budget £'000	Description of Service Area	Actual Usage 2019/2020 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
Regeneration Committee				
81	Church St Property Intervention and Grants (Corp. Reserve)	81	0	As per the 2019/20 MTFS this will fund urgent repairs to 16 Church Street and a grants scheme to complement the existing Townscape Heritage grants scheme.
41	External Funding for Environmental Projects	41	0	Grants received in 18/19 to be used for park improvements and street cleaning
65	BIS ISQ	65	0	Amount set aside to meet the expected rent shortfall in the first year of operation.
103	National Museum of the Royal Navy Hartlepool	103	0	Reflects agreed contribution to NMRN.
Neighbourhood Committee				
50	Allotments (Public Health Reserve)	50	0	Funded from Public Health Reserve
14	Community Safety Specific Grants	14	0	Use of PCC funding contribution towards 'Outreach' scheme.
35	Passenger Transport Reserve	35	0	The remaining balance on this reserve will be used to mitigate the impact of the cost pressures from home to school transport for SEND pupils.
34	Ward Member Budgets (incl Civic Lottery)	34	0	Relates to timing of expenditure
423	Total	423	0	

ADULT & COMMUNITY BASED SERVICES

7.3 APPENDIX F

CAPITAL MONITORING REPORT PERIOD ENDING 30th September 2019

Project Code	Scheme Title	BUDGET	EXPENDITURE IN CURRENT YEAR					Type of Financing	2020/21 COMMENTS
		A	B	C	D	E	F		
		2019/20 Budget £'000	2019/20 Actual as at 30/09/19 £'000	2019/20 Expenditure Remaining £'000	Expenditure Rephased into 2020/21 £'000	(B+C) 2019/20 Total Expenditure £'000	(D-A) 2019/20 Variance from Budget £'000		
Adult & Community Based Services									
7212	Capital Grants to Residential/Nursing Care Homes (iBCF)	257	64	193	0	257	0	RCCO	Schemes on-going
7234	Chronically Sick and Disabled Persons Adaptations	284	3	7	274	284	0	MIX	
8108	Centre for Independent Living (CIL)	228	0	228	0	228	0	MIX	
7218	Disabled Facilities Grant	1,254	609	645	0	1,254	0	GRANT	Schemes on-going
8710	Drug & Alcohol Recovery Centre	18	0	18	0	18	0	GRANT	Scheme on-going
8946	Stepping Stones Grant	26	0	26	0	26	0	GRANT	Scheme on-going
8088	Community Hub - Central	48	7	41	0	48	0	RCCO	Scheme on-going
8103	Swimming Scheme	35	0	0	35	35	0	RCCO	Amounts set aside for equipment purchase
8172	Brierton Dance Studio Equipment	2	2	0	0	2	0	RCCO	
7992	Junior Football Pitches	26	0	0	26	26	0	RCCO	
8408	Mill House - Equipment Purchase	28	15	13	0	28	0	RCCO	Used to fund replacement equipment
8689	Brierton Sports Fields	1	0	1	0	1	0	MIX	
8016	Summerhill Multi User Route	1	0	1	0	1	0	GRANT	
8409	Sport & Youth Improvements	12	0	0	12	12	0	MIX	To be used as match funding in potential future grant bid for work required at Carlton Adventure.
8964	Brierton Sports Hall Techno Gym	2	2	0	0	2	0	GRANT	
8896	Brierton Tennis Courts	30	0	0	30	30	0	CAP REC	
8634	Brierton 3G Pitch - Football Foundation	6	0	6	0	6	0	MIX	
Total Adult & Community Based Services		2,258	702	1,179	377	2,258	0		

Key

RCCO	Revenue Contribution towards Capital	GRANT	Grant Funded
MIX	Combination of Funding Types	CAP REC	Capital Receipt
UCPB	Unsupported Corporate Prudential Borrowing	UDPB	Unsupported Departmental Prudential Borrowing
SCE	Supported Capital Expenditure (Revenue)	CORP	Corporate Resources

CAPITAL MONITORING REPORT PERIOD ENDING 30th September 2019

Project Code	Scheme Title	BUDGET	EXPENDITURE					Type of Financing	2019/20 COMMENTS
		A	B	C	C	D	E		
		2019/20 Budget £'000	2019/20 Actual as at 30/09/19 £'000	2019/20 Expenditure Remaining £'000	Expenditure Rephased into 2020/21 £'000	(B+C) 2019/20 Total Expenditure £'000	(D-A) 2019/20 Variance from Budget £'000		
Joint Commissioning Services									
8906	Brierton Campus Windows	67	0	67	0	67	0	RCCO	
8139	BSF - ICT Infrastructure (General)	10	0	10	0	10	0	MIX	
	ICT Infrastructure	34		34	0	34	0	MIX	
7337	Catcote School - Increase Capacity for pupils with ASD	49	0	0	0	0	(49)	GRANT	Alternative scheme being investigated, underspend to be returned to Schools General Special Provision unallocated.
8072 & 8218	Children's Centres General	42	0	0	42	42	0	MIX	
7387	Clavering KS2 Remodelling and Hall Expansion	161	87	74	0	161	0	GRANT	Scheme complete.
9027	English Martyrs - New Build	155	0	155	0	155	0	GRANT	Scheme on site
8005	Golden Flatts Primary School - Boundary Wall	40	4	40	0	44	4	GRANT	Overspend to be funded from Schools General Conditions unallocated.
8018	Golden Flatts Primary School - Heating Pipework (Phase 1 of 3)	47	5	42	0	47	0	GRANT	Scheme complete.
9031	Grange Primary School - Roof Replacement	23	18	5	0	23	0	GRANT	Scheme complete.
7335	Hart - Emergency Wall	112	9	103	0	112	0	GRANT	Awaiting information from Historic England in relation to whether a fence can be erected as there is a Scheduled Ancient Monument under the field.
7412	High Tunstall - FF&E	90	33	57	0	90	0	GRANT	Scheme ongoing
7396	High Tunstall - Roofing D Block	6	6	0	0	6	0	GRANT	Scheme Complete
7435	High Tunstall 'D' Block - Boiler Plant Renewal	88	16	72	0	88	0	GRANT	Scheme Complete
7411	High Tunstall Eco Centre	20	20	0	0	20	0	GRANT	
9028	High Tunstall New Build	461	0	461	0	461	0	GRANT	Scheme on site.
7356	High Tunstall New Build (School Led)	396	127	269	0	396	0	RCCO	School Led Scheme
7984	Lynnfield Primary School - Roof Replacement	77	75	2	0	77	0	GRANT	Scheme complete.
8006	Lynnfield Primary School - Window Replacement	30	2	14	0	16	(14)	GRANT	Scheme underspend to be returned to Schools General - Conditions unallocated.
8017	Pupil Referral Unit - Electrical Rewire (Phase 1 of 2)	62	22	40	0	62	0	GRANT	Scheme complete.
9031	Pupil Referral Unit - Roof Replacement (Phase 1 of 3)	55	5	50	0	55	0	MIX	Scheme complete.
8906	Pupil Referral Unit - Window Replacement (Phase 2 of 3)	20	2	18	0	20	0	GRANT	Scheme complete.
8906	Rift House - Childrens Centre Windows Replacement	33	31	2	0	33	0	GRANT	Scheme complete.
8891	Rift House - Classroom Extension	118	27	91	0	118	0	RCCO	Scheme mainly complete, tarmacking re-instatement to be carried out.
8360&7177	Rift House - Language Lab & Fire Damage	407	320	87	0	407	0	RCCO/INSURANCE	Scheme complete.
8985	Rift House School - Heating Pipework (Phase 2 of 2)	27	25	2	0	27	0	GRANT	Scheme complete.
7177	Rift House Nursery Play Area	78	60	18	0	78	0	INSURANCE	Scheme on site.
7402	Rossmere - Purchase of Minibus	30	30	0	0	30	0	RCCO	This is a school led capital scheme.
8984	Rossmere School - Electrical Rewire (Phase 1 of 5)	4	4	0	0	4	0	GRANT	Scheme complete.
7980	Rossmere Primary School - Electrical Rewire (Phase 2 of 5)	85	17	68	0	85	0	GRANT	Scheme commenced - on site October half term.
8906	Rossmere - Window Replacement	7	7	0	0	7	0	GRANT	Scheme complete.
7142	Schools General - Fire Safety Modifications (Conditions)	92	0	92	0	92	0	GRANT	Work on hold.
7397	Springwell - Mechanical Air Handling Units	4	4	0	0	4	0	GRANT	Scheme complete.
7432	Springwell - SEMH and ASD Provision	7	7	0	0	7	0	GRANT	Scheme complete.
7974	Springwell School - Roof Replacement (Phase 1 of 2)	41	4	0	37	41	0	GRANT	Scheme re-phased to 2020/21 as contractor was unable to carry out work during summer holidays.
9032	St Helen's Primary School - Boiler Plant Renewal	72	38	34	0	72	0	GRANT	Scheme complete.
7975	Throston Primary School - Roof Replacement (Phase 3 of 3)	52	48	4	0	52	0	GRANT	Scheme complete.
8971	Throston School - Fan Convecter Renewal (Phase 2 of 3)	16	14	0	0	14	(2)	MIX	Scheme complete, underspend to be re-allocated back to Schools General Conditions unallocated.
8653	West View - Early Years Foundation Stage Improvements	3	3	0	0	3	0	RCCO	Retention payment.
7358	CECA Additional Toilet	12	2	10	0	12	0	GRANT	
7355	CECA IT Infrastructure and Technology	72	4	48	20	72	0	GRANT	
8221	Chancellors 'Little Extras'	222	38	184	0	222	0	GRANT	Funding is allocated to schools, expect to spend full budget amount by year end.
7384	Devolved Schools Capital	269	47	222	0	269	0	GRANT	Funding is allocated to schools, expect to spend full budget amount by year end.
7332	Healthy Pupils Capital Fund	6	2	4	0	6	0	GRANT	Funding is allocated to schools, expect to spend full budget amount by year end.
7521	Two Year Old FNE Capacity Funding	23	0	23	0	23	0	GRANT	
8788	Universal Free School Meals	20	0	20	0	20	0	GRANT	
9004	Schools General - Basic Need	1,640	0	1,640	0	1,640	0	GRANT	
9004	Schools General - Conditions unallocated	137	0	149	0	149	12	MIX	
9004	Schools General - Contingency	70	0	70	0	70	0	GRANT	
9004	Schools General - Special Provision unallocated	233	0	282	0	282	49	GRANT	
9004	Schools General - Suitability Unallocated (SEMH)	798	0	798	0	798	0	RCCO	
Total Children's and Joint Commissioning Services		6,623	1,163	5,361	99	6,623	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

REGENERATION & NEIGHBOURHOOD SERVICES

7.3 APPENDIX H

CAPITAL MONITORING REPORT PERIOD ENDING 30th September 2019

Project Code	Scheme Title	EXPENDITURE IN CURRENT YEAR						Type of Financing	2018/19 COMMENTS
		BUDGET							
		A	B	C	C	D	E		
		2019/20 Budget £'000	2019/20 Actual as at 30/09/19 £'000	2019/20 Expenditure Remaining £'000	Expenditure Rephased into 2020/21 £'000	(B+C) 2019/20 Total Expenditure £'000	(D-A) 2019/20 Variance from Budget £'000		
Finance & Policy Committee									
8306	School Catering Equipment	469	15	85	369	469	0	RCCO	Amounts set aside for replacement of major items.
	Finance & Policy Committee Sub Total	469	15	85	369	469	0		
Regeneration Committee									
7220	Housing - Private Sector Grants	64	0	20	44	64	0	GRANT	New grants awarded and income recycled from charges on properties in relation to old loan schemes.
7066	Avondene Accommodation, Church Street	67	59	8	0	67	0	GRANT	Purchase and renovation of a block of 12 apartments known as 'Avondene' at 59-64 Church Street, approved using the delegated powers in relation to self funded business cases on 26th July, 2018.
CH	Council Housing	2,932	1,449	564	919	2,932	0	MIX	Acquisition of empty properties and new build units using a combination of Homes England grant, Section 106 developer contributions and borrowing.
7530	Developers Contributions (Section 106)	3,409	0	900	2,509	3,409	0	GRANT	Earmarked expenditure as specified in developer agreements. Details are set out in Appendix L
		13	0	13	0	13	0	GRANT	Accessible café servery, funded mainly by 'Tees Valley Museums' with 15% match element.
7348	Art Gallery								
7353	Museums NPO	8	0	8	0	8	0	GRANT	NPO National Portfolio Organisations, Arts Council Funding for Royal Navy Learning Space – SBC lead LA through TV Museums Grant
8956	ISQ - Church Square	9	9	0	0	9	0	MIX	Scheme complete.
8901	ISQ - Workspace	543	527	16	0	543	0	MIX	Budget includes Includes additional £237,000 approved per Decision Record of 27th September, 2019 owing to issues/delays from working on the listed building.
7048	ISQ Stockton Street Connectivity	861	822	39	0	861	0	MIX	Scheme is ongoing.
8534	Church Street Heritage Scheme (HLF)	868	5	285	578	868	0	MIX	The amount of rephased budget will depend on progress in determining grant applications with property owners
	ISQ2 - Church Street Property Intervention	195	0	195	0	195	0	MIX	Relates to the renovation of 15 Church Street as per report to Council on 21st March, 2019
7504	Seaton - Costal Communities Fund (CCF)	51	9	42	0	51	0	MIX	Scheme is now substantially complete and expected to be within budget.
7049	Waterfront Public Realm	1,309	680	629	0	1,309	0	RCCO	Scheme ongoing
	Regeneration Committee Sub Total	10,329	3,560	2,719	4,050	10,329	0		
7272	Wheelie Bin Purchases	100	47	53	0	100	0	UDPB	Annual budget for purchase of new and replacement bins. Expect spend to budget.
7333	Seaton - Additional Car Parking	571	6	565	0	571	0	UDPB	Scheme to create 350 new parking spaces approved by Council 25th October, 2018
7466	DSO Vehicle Purchases	2,908	345	2,384	179	2,908	0	UDPB	At this stage it expected that all of the outstanding 2018/19 vehicle purchases and most of the current years replacement programme will be delivered and can be met from the existing budget.
8993	Garage Wash-off Facility	101	0	101	0	101	0	MIX	Expected to be completed in year.
7878	Community Safety CCTV Upgrade/Relocation	46	2	44	0	46	0	MIX	Scheme expected to complete in 2019/20.
CR	Crematorium Chapel refurbishment	404	0	0	404	404	0	RCCO	A report setting out proposals will be presented to members later in the year.
Allot	Allotments Improvements	209	1	45	163	209	0	UDPB	A new programme of works for 2018/19 was approved by the Neighbourhoods Committee in June 2018.
LTP	Local Transport Plan (LTP) Schemes	2,870	955	1,753	162	2,870	0	GRANT	Consists of various Highways & Traffic schemes. The rephased may vary owing to the timing of expenditure which can be subject to unforeseen delays/design /consultation and weather conditions.
9026	TVCA - Eastern Crossing Feasibility	116	99	17	0	116	0	GRANT	Scheme study nearing completion.
7900	EA - Hartlepool Marina - North Pier Study	30	0	30	0	30	0	GRANT	Anticipated study completion in 2019/20.
7902	EA - Hartlepool Drainage Schemes	36	0	0	36	36	0	GRANT	On site Flood defence works.
8958	A19, Grade Separated Junction, Elwick Bypass and Hartlepool Western Link	18,506	107	1,893	16,506	18,506	0	UDPB	Design work is progressing and tender for gap closures has been awarded. The rephased budget reflects the profile of the scheme which will span multiple years.
8444	Coast Protection - Town Wall Strengthening	42	1	41	0	42	0	GRANT	Scheme complete, however there is an ongoing legal dispute. When resolved a request will be made to the Environment Agency to transfer the balance to another Environmental Agency scheme of a similar nature.
8578	Coast Protection - South Management Unit Study	28	0	28	0	28	0	GRANT	Ongoing study that will lead to an options appraisal and committee report. Anticipated completion in 2019/20.

REGENERATION & NEIGHBOURHOOD SERVICES

7.3 APPENDIX H

CAPITAL MONITORING REPORT PERIOD ENDING 30th September 2019

Project Code	Scheme Title	BUDGET	EXPENDITURE IN CURRENT YEAR					Type of Financing	2018/19 COMMENTS
		A	B	C	C	D	E		
		2019/20 Budget £'000	2019/20 Actual as at 30/09/19 £'000	2019/20 Expenditure Remaining £'000	Expenditure Rephased into 2020/21 £'000	2019/20 Total Expenditure £'000	(B+C) 2019/20 Total Expenditure £'000		
8997	Neighbourhood Investment Fund Unallocated	239	0	0	239	239	0	UDPB	This is the remaining balance on the Neighbourhood Investment Fund to be allocated to schemes following future approval by Members.
7339	Seaton Park Tennis Courts	173	2	171	0	173	0	MIX	
HIFP	Additional Highway Schemes HIFP	1,825	657	746	422	1,825	0	MIX	A report providing an update on the details of this budget was presented to Finance and Policy Committee on 22nd July.
7246	NIP - Rossemere Park	281	114	167	0	281	0	GRANT	Phase 2 expected to commence Oct-19 and complete by Dec-19/Jan-20
7340	NIP - Oulton Manor Belly Bins	0	0	0	0	0	0	MIX	Scheme completed 2018/19
7343	NIP - Memorial Wood	7	1	6	0	7	0	UDPB	Work committed.
7344	NIP - Hindpool Close Play Area	40	1	39	0	40	0	UDPB	
7347	NIP - CCTV in Parks	399	18	381	0	399	0	GRANT	
8977	NIP - King Oswy Drive	33	11	22	0	33	0	UDPB	Scheme complete
8288	NIP - Stranton Cemetery Barrier	50	0	0	50	50	0	UDPB	Project not expected to commence until 2020/21
8994	NIP - BIS Paving	5	5	0	0	5	0	UDPB	
8292	NIP - Headland	112	98	14	0	112	0	UDPB	
8996	NIP - Roundabouts at Key Gateways	3	2	1	0	3	0	UDPB	
7438	NIP - Spencer Grove	6	0	6	0	6	0	UDPB	
7436	NIP - Stranton Cemetery Car Park	50	0	0	50	50	0	UDPB	Business case to be taken, this scheme not expected to commence until 2020/21
7439	NIP - Off street Car Parking Balmoral Rd	21	18	3	0	21	0	UDPB	
7440	NIP - Improvements to Parks	200	0	200	0	200	0	UDPB	Individual schemes to be agreed
7448	NIP - Davison Drive Belly Bin	6	0	6	0	6	0	UDPB	Remaining Thirteen funds
7444	NIP - Cleaning Equipment	34	0	34	0	34	0	UDPB	
7437	NIP - Play Equipment Replacement (Sinking Fund)	50	0	25	25	50	0	UDPB	Amounts set aside for the replacement of playground equipment.
PLAY	Parks & Playgrounds	77	11	29	37	77	0	GRANT	Amounts set aside for the replacement of playground equipment.
TVCA	TVCA Cycleways and Footpath Upgrades	708	332	376	0	708	0	GRANT	Scheme completed £15k under budget. Budget reduced to reflect grant repayable to TVCA in line with the terms of the funding agreement.
Neighbourhoods Committee Sub Total		30,286	2,833	9,180	18,273	30,286	0		
Regeneration & Neighbourhoods Total		41,084	6,408	11,984	22,692	41,084	0		

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

CHIEF EXECUTIVES

7.3 APPENDIX I

CAPITAL MONITORING REPORT PERIOD ENDING 30th September 2019

Project Code	Scheme Title	BUDGET	EXPENDITUR					Type of Financing	2019/20 COMMENTS
		A	B	C	C	D	E		
		2019/20 Budget £'000	2019/20 Actual as at 30/09/19 £'000	2019/20 Expenditure Remaining £'000	Expenditure Rephased into 2020/21 £'000	(B+C) 2019/20 Total Expenditure £'000	(D-A) 2019/20 Variance from Budget £'000		
7260	City Challenge Clawback	9	0	9	0	9	0	RCCO	
7623	Corporate IT Projects	12	0	12	0	12	0	MIX	
	Point to Point Encryption	20	0	20	0	20	0	MIX	
	Corporate Projects	89	0	89	0	89	0	MIX	
	Chief Executives Total	130	0	130	0	130	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

CORPORATE

7.3 APPENDIX J

CAPITAL MONITORING REPORT PERIOD ENDING 30th SEPTEMBER 2019

Project Code	Scheme Title	BUDGET	EXPENDITURE IN CURRENT YEAR					Type of Financing	2019/20 COMMENTS
		A	B	C	D	E	F		
		2019/20 Budget £'000	2019/20 Actual as at 31/09/19 £'000	2019/20 Expenditure Remaining £'000	Expenditure Rephased into 2020/21 £'000	(B+C+D) 2019/20 Total Expenditure £'000	(E-A) 2018/19 Variance from Budget £'000		
7033	Borough Hall Ext masonry/window mullions	52	1	51	0	52	0	MIX	Scheme ongoing.
7035	Town Hall - Renew Boilers	83	8	75	0	83	0	MIX	Scheme ongoing.
7036	CCF Unallocated	0	0	0	0	0	0	GRANT	
7041	CPM Unallocated	50	0	50	0	50	0	MIX	
7053	BEMS System	2	2	0	0	2	0	CAP REC	Scheme complete.
7055	Town Hall - Fire Alarm Upgrade	44	44	0	0	44	0	GRANT	Scheme ongoing.
7058	Town Hall - Power Cabling Upgrade	28	11	17	0	28	0	MIX	Scheme ongoing.
7065	Fire Risk Assessments	100	0	100	0	100	0	MIX	Scheme ongoing.
7072	Seaton DDA toilet	37	0	37	0	37	0	MIX	Scheme on hold.
7075	Mill House Replace Dosing System, Pool Pump	19	0	19	0	19	0	MIX	Preliminary works ongoing.
7200	Civic Centre Capital Maintenance Project	75	0	0	75	75	0	MIX	Scheme ongoing.
7233	Civic Centre Replace Main Lifts	174	8	166	0	174	0	UDPB	Scheme ongoing.
7336	Borough Hall Upgrade furniture, fixtures	56	0	56	0	56	0	UDPB	Scheme ongoing.
7410	Bevan House-Lighting Upgrade	22	0	22	0	22	0	UDPB	Scheme ongoing.
7415	Bevan House Replace Boiler Plant	77	0	77	0	77	0	MIX	Scheme ongoing.
7416	Seaton Remediation Works	205	0	205	0	205	0	MIX	Scheme ongoing.
7417	Seaton Carew Library - Fire Alarm Upgrade	9	0	9	0	9	0	RCCO	Scheme ongoing.
7472	Victory Square Improvement	7	0	7	0	7	0	UDPB	Scheme ongoing.
7473	Victory Square Conservation Work	55	7	48	0	55	0	GRANT	Scheme ongoing.
7503	Carnegie - Boiler Replacement	14	10	4	0	14	0	GRANT	Scheme ongoing.
7503	CETL - Boiler Replacement	7	7	0	0	7	0	GRANT	Scheme complete. Final Account to be agreed.
7505	Carnegie - Roof & Internal Works	11	0	11	0	11	0	GRANT	Scheme complete. Final Account to be agreed.
7506	Christ Church - Stonemasonry Works	245	88	157	0	245	0	MIX	Scheme ongoing
7589	CETL - Replace Heating Control	11	8	3	0	11	0	UDPB	Scheme ongoing
7617	Borough Hall - Lighting & Wiring	40	0	40	0	40	0	MIX	Scheme ongoing.
7845	Owton Manor Community Centre Replace Roof Block A	214	0	214	0	214	0	GRANT	Scheme ongoing.
7889	Borough Hall - Roof Repair	319	216	103	0	319	0	MIX	Scheme ongoing.
8061	CETL Roof Replacement	10	1	9	0	10	0	UDPB	Scheme complete. Final account to be agreed.
8064	Exmoor Grove Electrical Distribution Upgrade	11	0	11	0	11	0	UDPB	Scheme ongoing.
8386	Tofts Farm Depot - Lighting Upgrade	3	0	3	0	3	0	UDPB	Scheme complete.
8685	Grayfields - Boiler Plant Renewal	15	0	15	0	15	0	RCCO	Scheme ongoing.
8776	Town Hall - Replace Stage Lighting	2	0	2	0	2	0	UDPB	Scheme complete.
8866	Rossmere Youth Centre - Roof Replacement	30	0	30	0	30	0	GRANT	Scheme complete. Final account to be agreed.
8867	Borough Hall Structural Works-External Wall	63	63	0	0	63	0	MIX	Scheme ongoing.
8893	Town Hall - Lighting & Distribution Board Replacement	15	14	1	0	15	0	CORP	Scheme ongoing.
8959	Council Chamber Refurbishment	10	0	10	0	10	0	RCCO	Scheme complete. Final account to be agreed.
8970	Historic Quay Delapidation Work	174	15	159	0	174	0	CORP	Scheme ongoing.
9029	Tofts Farm Depot Security Upgrade	63	7	56	0	63	0	RCCO	Scheme ongoing.
9030	Tofts Farm Depot Replace Fire Alarm	33	32	1	0	33	0	RCCO	Scheme complete.
9034	Carlton - Construct Fire Escape	42	0	42	0	42	0	RCCO	Scheme ongoing.
9035	Civic Centre Shunt/Primary Pumps	20	0	20	0	20	0	RCCO	Scheme ongoing.
9036	Civic Centre Lifts Over Speed Governor	10	0	10	0	10	0	RCCO	Scheme complete.
9037	Carlton - Boiler House Floor	3	3	0	0	3	0	RCCO	Scheme complete.
9038	Carlton - Emergency Lighting	3	0	3	0	3	0	RCCO	Scheme ongoing.
NEW	Borough Hall Major Refurbishment Works	126	0	126	0	126	0	MIX	Specification to be agreed.
NEW	Mill House Feasibility Study	175	0	175	0	175	0	MIX	Scheme ongoing. Agreed 22.07.2019
Finance & Policy Committee Total		2,764	545	2,144	75	2,764	0		

SECTION 106 DEVELOPERS CONTRIBUTIONS as at 30th September, 2019

7.3 Appendix K

Affordable Housing Contributions ***** £000		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
Balance Remaining (A+B-C) 1st April, 2019 *	1,666	90	15	143	35	99	61	5	0	106	71	15	254	100	2	996
Amounts Received in Year 19/20 (B)																
Persimmon - Mayfair				4		5				4			62			75
Dere Street - Wynyard Woods										20						20
Wynyard Park - Meadow Cottage	10															
Wynyard Park - Manorside	65												21			21
Taylor Wimpey - Tunstall Farm	292									9			64			73
Mr Parry - Hutton Avenue				3						3						6
Mr Borthwick - Four Winds				6		3				4						13
Wynyard - Site B, Wellington				8												8
Dalton Heights -						66										67
Wynyard		30		8						2			58			97
Total income	367	30	0	29	0	74	0	0	0	42	0	0	205	0	0	380
Sub Total - revised Balance	2,033	120	15	172	35	173	61	5	0	148	71	15	459	100	2	1,376
Expenditure Incurred in 2019/20 (C)																
Council Housing *****	900															
Total Expenditure	900	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Balance Remaining (A+B-C) 31st March, 2019 *	1,133	120	15	172	35	173	61	5	0	148	71	15	459	100	2	1,376

*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.

***** indicative figure based on housing schemes expenditure to date.