

# FINANCE AND POLICY COMMITTEE

## AGENDA



**Friday 15 October 2021**

**at 10.00 am**

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

A limited number of members of the public will be able to attend the meeting with spaces being available on a first come, first served basis. Those wishing to attend the meeting should phone (01429) 523568 or (01429) 523019 by midday on Thursday 14 October, 2021 and name and address details will be taken for NHS Test and Trace purposes.

**You should not attend the meeting if you are required to self-isolate or are displaying any COVID-19 symptoms such as (a high temperature, new and persistent cough, or a loss of/change in sense of taste or smell), even if these symptoms are mild. If you, or anyone you live with, have one or more of these symptoms you should follow the NHS guidance on testing.**

MEMBERS: FINANCE AND POLICY COMMITTEE

Councillors Brash, Brown, Fleming, Harrison, Lindridge, Little, Moore, D Nicholson, Prince, Stokell 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 13 September 2021.

### **4. BUDGET AND POLICY FRAMEWORK ITEMS**

- 4.1 Medium Term Financial Strategy (MTFS) 2022/23 to 2024/25– *Director of Resources and Development*

#### **CIVIC CENTRE EVACUATION AND ASSEMBLY PROCEDURE**

In the event of a fire alarm or a bomb alarm, please leave by the nearest emergency exit as directed by Council Officers. A Fire Alarm is a continuous ringing. A Bomb Alarm is a continuous tone. The Assembly Point for everyone is Victory Square by the Cenotaph. If the meeting has to be evacuated, please proceed to the Assembly Point so that you can be safely accounted for.

## **5. KEY DECISIONS**

No items.

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

No items.

## **7. ITEMS FOR INFORMATION**

- 7.1 Strategic Financial Management Report - as at 31st August 2021 – *Director of Resources and Development*
- 7.2 Update on Developing Sustainable Solutions to Food Poverty – *Director of Adult and Community Based Services*
- 7.3 Community Pot Update – *Director of Adult and Community Based Services*
- 7.4 Corporate Complaints Monitoring Report for 2020/21 – *Assistant Director, Corporate Services*

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

For Information:

Dates and times of forthcoming meetings of the Finance and Policy Committee –

Monday 15 November, 2021 at 10.00 am  
Monday 13 December, 2021 at 10.00 am  
Monday 17 January, 2022 at 10.00 am  
Monday 14 February, 2022 at 10.00 am  
Monday 14 March, 2022 at 10.00 am



## **FINANCE AND POLICY COMMITTEE MINUTES AND DECISION RECORD**

13 SEPTEMBER 2021

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

### **Present:**

Councillor Shane Moore (In the Chair)

Councillors: Tim Fleming, Brenda Harrison, Jim Lindridge, Sue Little,  
David Nicholson, Amy Prince and Cameron Stokell.

Also Present: Councillor Brian Cowie as substitute for Councillor Paddy Brown in  
accordance with Council Procedure Rule 4.2.  
Councillor Pamela Hargreaves as substitute for Councillor Jonathan  
Brash in accordance with Council Procedure Rule 4.2.

Officers: Denise McGuckin, Managing Director  
Hayley Martin, Chief Solicitor  
Chris Little, Director of Resources and Development  
James Magog, Assistant Director, Finance  
Sally Robinson, Director of Children's and Joint Commissioning Services  
Craig Blundred, Director of Public Health  
Danielle Swainston, Assistant Director, Joint Commissioning  
Jill Harrison, Director of Adult and Community Based Services  
Tony Hanson, Director of Neighbourhoods and Regulatory Services  
Steve Hilton, Communications and Marketing Team  
David Cosgrove, Democratic Services Team

### **19. Apologies for Absence**

Councillors Jonathan Brash, Paddy Brown and Mike Young.

### **20. Declarations of Interest**

Councillor Prince declared a personal interest in Minute No. 25.

### **21. Minutes of the meeting held on 12 July 2021**

Received.

**22. Minutes of the meeting of the Safer Hartlepool Partnership held on 24 February 2021**

Received.

**23. Minutes of the meeting of the Health and Wellbeing Board held on 1 March 2021**

Received.

**24. Medium Term Financial Strategy (MTFS) 2022/23 to 2024/25** *(Director of Resources and Development)*

**Type of decision**

Budget and Policy Framework.

**Purpose of report**

The purpose of the report was to provide an update on the Council's financial position and enable Members to approve a strategic direction for the MTFS, including the 2022/23 recommended Council Tax level to be referred to Council.

**Issue(s) for consideration**

The Director of Resources and Development gave a presentation to Members in support of his detailed report setting out the financial position and challenges facing the Council over the period 2022/23 to 2024/25. The Director particularly highlighted that his robustness advice was very dependent on the level of Council Tax increase elected Members supported. Over the period 2022/23 to 2024/25 the Council had to address a budget deficit of £11.435m which could be reduced by £3.912m if Members supported a Council Tax increase in line with Government referendum limits (1.9%) and the 3% Adult Social Care Precept deferred from last year.

The Director highlighted the additional appendix circulated to Members outlining the Health and Social Care Funding announcement made by government on 7 September relating to the 1.25% National Insurance increase. The Director also highlighted the discussions on the national pay offer effective from 1 April, where an offer of 1.75% had been made to Trade Unions. One-off resources could meet the additional costs this financial year but for future years this would increase the future budget deficit by £875,000.

The Chair noted the shift in Council funding from central government to Council Tax payers. The Council was faced with a simple decision and he

considered that there was no option other than to increase Council Tax. The Chair did also propose that the Committee write to the Member of Parliament for Hartlepool sharing the financial situation facing the Council and seeking fairer funding for the town.

The proposal to write to the MP was supported by Councillors and it was proposed that she should be invited to a meeting with the Committee, preferably before the next Council meeting, as this report was to be referred to the meeting on 30 September, to discuss the Council's position with the MP and what support she could provide and where her campaign for fairer funding for Hartlepool had reached.

There was also wider discussion around the impact of the proposed Council Tax increase on already stretched households in the town. Members were concerned that many households could be hit by unemployment once the furlough scheme ended. There was also comment that constantly increasing the number of new homes in the town, while bringing new Council Tax income, was also placing additional strain on community services.

A Member also referred to the comments within the report around the 'transformation' of services in a report that essentially looked to balancing the budget. The Member also referred to the previous 'transformation' of services that had been undertaken and if that had delivered the required results. The Managing Director commented that the previous service transformation process had delivered the savings required as could be seen through the changing balance in council funding from central government and the significant reduction in overall budget over the past decade. Officers were working extremely hard behind the scenes to deliver the savings. Officers did, however, need some direction from Members as to the level of savings required, hence this report. Reaching a savings target of £7.523m was going to be extremely challenging and would require some very difficult decisions. A target of £11.435m was almost impossible.

The Director of Resources and Development stated that the Council had written to the Ministry of Housing, Communities and Local Government. The government spending review was not due until October so it was likely that the strategic decisions on spending had already been made. To cover the deficit a huge percentage increase in Hartlepool's grant would be required and one every other Council with deprived communities would also want. There was nothing on the horizon, no new or increased funding, that was going to come to our rescue.

The Chair proposed the recommendations as set out in the report with the addition of writing to the MP and seeking her attendance at a meeting of the Committee before Council on 30 September so the results of the discussions could be fed into Council's considerations.

The following decisions were agreed by a majority of 7 votes for to 3 against.

**Decision**

1. The Committee noted the report;
2. The Committee noted a national pay offer of 1.75% effective from 1st April 2021 has been made which would require funding from in-year savings / use of one off resources in 2021/22 and would increase the 2022/23 budget deficit by £875,000. This offer has not been accepted and if an increased offer is made this would increase the budget deficit.
3. The Committee noted the initial robustness advice detailed in the report and if this advice was ignored it would be required to record the reasons for such decision.
4. That Council be recommended to approve a 2022/23 Core Council Tax increase of 1.9% (subject to confirmation of a 2% referendum limit by the Government) and a 3% Adult Social Care precept (approved Government limit that could either have been applied in 2021/22 or deferred to 2022/23);
5. That Council be recommended to support an indicative 2023/24 and 2024/25 Core Council Tax increase of 1.9% (subject to confirmation of a 2% referendum limit by the Government);
6. That Council notes that decisions 4 and 5 above secure recurring Council Tax income of £3.912m and reduce, therefore, the budget deficit from £11.435m to £7.523m;
7. That Council notes that the phased use of the Budget Support Fund to support the budget and meet redundancy / early retirement would enable the deficit of £7.523m to be phased over three years. The Corporate Management Team will develop a draft savings plan and report these proposals to a future meeting to deliver the following annual savings:
  - 2022/23 £2.654m
  - 2023/24 £2.412m
  - 2024/25 £2.457m
8. The Committee noted the financial risks detailed in Appendix D to the report which could potentially increase the forecast deficits detailed in the report.
9. That the budget timetable detailed in section 10 of the report be approved, which includes the development of a detailed savings plan.
10. That Hartlepool MP, Jill Mortimer, be invited to meet the Committee ahead of the next Council meeting on 30 September to discuss the Council's financial situation and seek her support to bring additional money to Hartlepool.

**25. Local Council Tax Support 2022/23** (*Director of Resources and Development*)**Type of decision**

Budget and Policy Framework Decision.

**Purpose of report**

The purpose of the report was to update Members on the operation of the Local Council Tax Support (LCTS) scheme; and set out options for consideration for the operation of the LCTS scheme for 2022/23.

**Issue(s) for consideration**

The Assistant Director, Finance reported on the options for the operation of the LCTS scheme for 2022/23 showing the increase in income from any change in the level of support and the impact this may have on collection and debt levels.

The report proposed that the current 12% scheme should be maintained to provide a level of certainty and stability for households that could be affected by the current economic uncertainty and the ending of the furlough scheme.

The following decision was supported unanimously.

**Decision**

1. That the current costs and administration impact/risks associated with the LCTS scheme be noted.
2. That full Council be recommended to support the continuation of the Local Council Tax Support scheme at 12% for the 2022/23 financial year.

**26. Youth Justice Strategic Plan** (*Director of Children's and Joint Commissioning Services*)**Type of decision**

Budget and Policy Framework.

**Purpose of report**

To outline the process for the development of the draft Youth Justice Strategic Plan 2021-2023, as submitted, and approve the draft Plan for consultation.

**Issue(s) for consideration**

The Director of Children's and Joint Commissioning Services reported that the draft Youth Justice Strategic Plan 2021-2023 was currently in its consultation phase and was submitted to this committee as part of that process. It was anticipated that once the consultation process had concluded and all the comments incorporated the final draft would be submitted to the Children's Services Committee prior to submission to full Council in November for adoption.

Members indicated their support for the proposed plan and suggested that some positive publicity be undertaken to show the significant work undertaken in this important service and also highlighting that young people were not the principle causes of anti-social behaviour.

### **Decision**

The Committee noted the progress made against the local Youth Justice Plan (2019/2021) and supported the draft 2021/2023 plan.

There was a short break at this point in the proceedings.

## **27. Draft Community Safety Plan 2021-24** *(Director of Neighbourhood and Regulatory Services)*

### **Type of decision**

Budget and Policy Framework.

### **Purpose of report**

To consider and comment on the Safer Hartlepool Partnership Draft Community Safety Plan 2021-24.

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

The Director of Neighbourhood and Regulatory Services reported that the submitted draft plan had been approved for consultation by the Safer Hartlepool Partnership at its meeting on 19 July 2021 and the eight-week consultation period commenced on 13 September 2021.

The Chair indicated his support for the draft plan and considered the priorities included struck the right balance. Members commented that early interventions, particularly with young people, were much more successful and the ASBAD scheme was referred to as being of great value in this regard. Members also referred to some of the reluctance in the community to report anti-social behaviour problems. The Chair indicated that people could always make reports anonymously, though Members considered that this needed to be more proactively advertised and people advised of this when they did call. Members also commented that some way of feeding back to people needed to be incorporated as many people felt their reports were simply being ignored.

Members also suggested some means of testing the improvement of public confidence should be considered as well as some information gathering on what effect poverty was playing in crime and anti-social behaviour incidents.



**Decision**

That Members comments be noted as the Committee's response to the consultation process for the development of the Community Safety Plan 2021-24.

**28. COVID Recovery Support for Adult Social Care Providers** *(Director of Adult and Community Based Services)***Type of decision**

Key decision – General Exception Notice issued.

**Purpose of report**

To seek agreement from the Finance and Policy Committee regarding COVID recovery support for adult social care providers for the remainder of the 2021/22 financial year.

**Issue(s) for consideration**

The Director of Adult and Community Based Services reported that during the COVID-19 pandemic in addition to supporting providers with supplies of PPE, advice and guidance, daily calls and staff to manage crises, the Council paid COVID premiums to providers in 2020/21 as had been reported previously. The Council paid providers premiums based on a percentage of their usual contract payments (varying from 2.5% to 10% at different stages of the pandemic response) and national grants were also made available to providers via the Council, through the Infection Control Grant (Tranches 1 and 2), Workforce Capacity Fund and Rapid Testing Fund.

The Director reported that following a review of payments made to date and the ongoing support requirements of the sector a proposal has been developed for the remainder of the financial year. The COVID Recovery Support Payment made to care homes for older people and providers of home care / extra care for older people would be based on a reduced percentage of an additional 1% of their usual four weekly payment for a further three payment periods (ending 5 December 2021). The Occupancy Support Scheme would continue with additional payments to care homes (remaining at 75% of the difference) where occupancy has fallen but with increasing thresholds of 10% for 2 payment periods, then 15% for a further two payment periods (ending 2 January 2022).

Members indicated their support for the proposals and the following decision was approved without dissent.

**Decision**

That the proposals for continued COVID Recovery Support to adult social care providers as reported be approved.

**29. Homelessness Reduction and Rough Sleeping Strategy** *(Director of Children's and Joint Commissioning Services)***Type of decision**

Key decision – test (ii). Forward Plan ref. CJCS 110/21

**Purpose of report**

To present the first draft 'Homelessness Reduction and Rough Sleeping Strategy 2021-24' to Finance and Policy Committee for comment and to advise Members of the consultation process.

**Issue(s) for consideration**

The Director of Children's and Joint Commissioning Services reported that the Council had historically included homelessness and rough sleeping within the council's approved Housing Strategy, however, advice from The Ministry for Housing, Communities and Local Government (MHCLG) was that this does not adequately address the strategy for homelessness and rough sleeping and a stand-alone strategy was required.

A draft strategy had been produced and was submitted for consideration. The draft had been prepared using officer knowledge and experience and with support from the Homelessness Prevention Partnership (HPP). Public consultation opened on the 23 July 2021 and was open throughout July and August.

Members were concerned that it wasn't always possible to identify the numbers of rough sleepers in the town. The Director and the Assistant Director, Joint Commissioning indicated that there was a difference between rough sleepers and those classified as homeless. There were regular 'sweeps' undertaken by Cornerstone to identify rough sleepers and to try and work with them in understanding their needs and providing support. Those homeless would also include the numbers of people that may have been evicted from rental property and those 'sofa surfing'.

A Member was also concerned at the standard of private rented accommodation in the town and questioned if a landlord registration system could be a tool to drive up standards. The Assistant Director stated that there had been two selective licensing areas and neither had had any impact at all on the standards of private rented property. Registration schemes had been explored but there was no legislative requirement for private landlords to partake.

**Decision**

That Members comments be noted as the Committee's response to the consultation process for the development of the Homelessness Reduction and Rough Sleeping Strategy 2021-24.

**30. Development of Domestic Abuse Strategy and re-procurement of recommissioning of Domestic Abuse Service including new accommodation duties**  
(Director of Children's and Joint Commissioning Services)

**Type of decision**

Key decision – test (ii). Forward Plan ref. CJCS 113/21

**Purpose of report**

To update members on changes to the domestic abuse duties through the introduction of the Domestic Abuse Act 2021. To seek approval to develop a domestic abuse strategy and consult on the draft strategy. To seek approval to recommission domestic abuse support services including the accommodation requirements as set out in the Domestic Abuse Act 2021.

**Issue(s) for consideration**

The Director of Children's and Joint Commissioning Services reported that the Domestic Abuse Act 2021 received Royal Assent on 29 April 2021 and it was anticipated that most of the provisions in the Act would come into force in 2021/22. The Domestic Abuse Act required local areas to review their strategies to ensure that they were meeting all the duties. All strategies need to be reviewed by 31 October 2021.

The current contract with Harbour ends on 31st March 2022. A commissioning process needs to be undertaken to develop a service specification taking into account the findings from the needs assessment and the priorities within the new Strategy. It was proposed that the contract length would be three years with two additional years available to extend dependent on performance of the provider. The procurement process would begin in October 2021 to ensure that a provider was in place for 1st April 2022.

The Chair stated his support for the proposed strategy but was concerned that the authority had to have a strategy in place by the end of October with no indication of the funding that would be available to support it.

**Decision**

1. The Committee noted the changes to the domestic abuse duties through the introduction of the Domestic Abuse Act 2021

2. The Committee approved the development and production of a domestic abuse strategy and consultation on the draft strategy.
3. The Committee approved the recommissioning of domestic abuse support services, including the accommodation requirements as set out in the Domestic Abuse Act 2021.

### **31. Corporate Procurement Quarterly Report on Contracts** *(Chief Solicitor)*

#### **Type of decision**

For information.

#### **Purpose of report**

To satisfy the requirements of the Council's Contract Procedure Rules with regard to the Finance and Policy Committee receiving and examining quarterly reports on the outcome of contract letting procedures including those where the lowest/highest price is not payable/receivable and receiving and examining reports on any exemptions granted in respect of the Council's Contract Procedure Rules.

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

The Chief Solicitor submitted the quarterly report updating Members on the procurement activity within the Council and highlighted that this quarter's report included the additional information requested by Members on the social value rating in any tender evaluation process and the involvement of local companies in the tender process.

#### **Decision**

That the report be noted.

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

No items.

The meeting concluded at 12.10 pm.

**H MARTIN**

**CHIEF SOLICITOR**

**PUBLICATION DATE: 20 SEPTEMBER 2021**

# FINANCE AND POLICY COMMITTEE

15<sup>th</sup> October 2021



**Report of:** Director of Resources and Development

**Subject:** MEDIUM TERM FINANCIAL STRATEGY (MTFS)  
2022/23 TO 2024/25

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## 1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Budget and Policy Framework.

## 2. PURPOSE OF REPORT

2.1 The purposes of this report are to

- i) provide details of proposed savings to be referral to individual Policy Committees; and
- ii) to review income.

## 3. BACKGROUND

- 3.1 Previous MTFS reports highlights the scale of reductions in Government funding and the resulting cuts in services, including a reduction in the workforce of 20%. These measures cannot be repeated and the financial deficit now facing the Council means that further service cuts will have to be made.
- 3.2 This is increasingly difficult to explain to the public, particularly as cuts will continue at the same time as reliance on Council Tax and the Adult Social Care precept continues to increase. This is not unique to Hartlepool – most councils face this challenge. Council Tax funds 53% (£42.7m) of the budget in 2021/22 - compared to 32% (£30.8m) in 2013/14. It is increasingly challenging to explain to the public how their Council tax is used – particularly when this funds Social Care Services for adults and children, which not all residents use or appreciate councils provide.
- 3.3 The recent national debate may have helped people understand the challenges facing Adult Social Care. There has not been a similar national debate regarding the challenges facing Children's Social Care and the financial impact.

- 3.4 At the Finance and Policy Committee meeting on 13<sup>th</sup> September 2021 an updated MTFS report was presented. The report detailed the forecast budget deficits for the next three years, including the impact of reducing the total deficit from **£11.435m** to **£7.523m** by increasing Council Tax up to the level of the forecast national Referendum Limit, including the 3% deferred Adult Social Care precept. The precept could either have been implemented in 2021/22 or deferred to 2022/23.
- 3.5 The report advised Members that increasing Council Tax reflects national policy for funding local services. Therefore, against this national policy these increases provide the most robust basis for the budget and protecting services. The report also provided details of the Budget Support Fund which can be used to phase the deficit over three years and to support implementation of a Transformation Plan.
- 3.6 Members considered the issues detailed in the report and made detailed recommendation to Council, which will be considered on 30<sup>th</sup> September 2021. On the basis these recommendations are approved a savings plan now needs to be developed to deliver total savings of **£7.523m**. The majority of this deficit is front loaded in 2022/23. To support the plan it was recommended that reserves are used to phase the deficit over the next three years, as follows:

	2022/23	2023/24	2024/25	Total 22/23 to 24/25 £'m
	£'m	£'m	£'m	£'m
Deficit <u>AFTER</u> Council Tax increase and forecast Tax Base Growth	5.154	1.212	1.157	7.523
Deficit deferred from 22/23 to 23/24 by using Reserves	(2.500)	2.500	0.000	0.000
Deficit deferred from 23/24 to 24/25 by using Reserves	0.000	(1.300)	1.300	0.000
<b>Revised Deficit <u>AFTER</u> Council Tax increase and forecast Tax Base Growth and use of reserves</b>	<b>2.654</b>	<b>2.412</b>	<b>2.457</b>	<b>7.523</b>

- 3.7 Achieving the savings plan will be challenging and will need to be managed carefully to ensure planned savings are delivered and reliance on reserves is phased out – as this is not sustainable.
- 3.8 If Council do not approve the Council Tax and Adult Social Care precept recommendations referred from this Committee this will result in a significant increase in the 2022/23 deficit from **£2.654m** of **£4.767m**. A further report to this Committee would then be required to identify additional savings to address the increased 2022/23 deficit, as the proposals identified in this report will not cover an increase in the deficit.

#### 4. TRANSFORMATION AND SAVING PLAN

4.1 The ideal situation would be to have a three year plan to address the forecast budget deficit and include some additional proposals in the event that identified financial risks materialise over the next three year, for example grants cuts resume, national pay awards/inflation exceed the modest MTFS forecasts, or additional grant funding is not provided for the 1.25% National Insurance increase in April 2022. A three year plan was recommended by the Local Government Association when they reviewed the Council's financial position and approach to managing the budget deficit.

4.2 However, the scale of the budget deficit means this plan needs to be in two phases:

- **Phase 1 - to address the deficit for 2022/23.**

This stage needs to be completed by December 2021 to enable savings to be implemented from 1<sup>st</sup> April 2022;

In developing the 2022/23 plan it is recommended we aim to exceed the minimum savings required to balance the budget **of £2.654m**. This will provide a more robust basis for future years and reduce reliance on using reserves in 2022/23. Detailed proposals are provided in the next section.

- **Phase 2 – to address the deficits for 2023/24 and 2024/25.**

This stage needs to be completed and approved by September 2022 as it is envisaged many issues will have longer implementation periods.

Once a robust plan has been approved for 2022/23 the Corporate Management Team will work on proposals for 2023/24 and 2024/25. This work will commence in January/February 2022 and provide proposals for Members to consider after the May 2022 elections.

To assist the development of phase 2 savings a number of proposal which require a longer lead time to implement are identified in the next section. Members are also requested to identify areas where they would be prepared to reduce / stop services to achieve budget savings.

#### 5. PROPOSED SAVINGS

5.1 Details of proposed savings for 2022/23, 2023/24 and 2024/25 are summarised in **Appendix A – Part 1** and total between **£4.503m** and **£4.883m**. **This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation Order 2006) namely: - Paragraph 1 - Information relating to any individual and Paragraph 2 - Information which is likely to reveal the identity of an individual.**

- 5.2 On the basis that all of these proposals are approved this is only **65%** of the total three year deficit of **£7.523m**. If some of these proposals are not approved this percentage will reduce and alternative savings will need to be identified. This will be particularly challenging for 2022/23.
- 5.3 Detailed proposals are provided in **Appendix A - Part 2 (documents R&D 1 to 14, ACBS 1 to 13, CJCS 1 to 6 and NRS 1 to 12)**. Members need to determine if they support these proposals and then refer them to individual Policy Committees for consideration. The majority of the savings proposals are self-explanatory and if approved the 2022/23 proposals can be implemented from 1<sup>st</sup> April 2021. A number of proposals have longer lead times and require Members to provide a strategic direction as part of the 2022/23 budget process to enable savings to be achieved in 2023/24. Details of these issues and the specific recommendations are detail in Appendix A.
- 5.4 **Summary of proposed revenue savings**
- 5.5 These proposals have been identified by the Corporate Management Team against the background of the significant savings made in previous years, whilst seeking to minimise the impact on services. However, owing to the scale of the cuts required it is impossible to identify proposals which will not impact on services.
- 5.6 If all the proposals are approved and implemented this will address the 2022/23 budget deficit, but will require further significant savings to be identified in 2023/24 and 2024/25, as summarised below:

	A	B	C = A less B
	Cumulative deficit	Cumulative savings proposal (details Appendix A)	Cumulative shortfall still be addressed / (saving achieved in advance – i.e. reduced use of Budget Support Fund)
	£m	£m	£m
2022/23	2.654	2.824 to 2.999	(0.170 to 0.345)
2023/24	5.066	4.268 to 4.693	0.373 to 0.798
2024/25	7.523	4.503 to 4.883	2.640 to 3.020

- 5.7 If these proposals are not supported Members will need to propose viable alternative proposals that they are prepared to implement. This strategic direction is needed to enable the Corporate Management Team to develop a detailed implementation plan, which will include all necessary consultation, to ensure savings can be implemented from 1<sup>st</sup> April 2022 to balance the 2022/23 budget.
- 5.8 Members will appreciate time is running out to identify a savings plan for 2022/23 which can achieve full year savings from 1<sup>st</sup> April 2022. Delays in approving a plan will mean that only a part year saving can be achieved in



2022/23, which will mean higher savings need to be implemented in 2022/23 – the full year savings will then support the 2023/24 budget.

## 6. Potential Capital savings

- 6.1 The Capital Programme was approved by Council on 19<sup>th</sup> December 2019 and Finance and Policy Committee 30<sup>th</sup> January 2020. At that time the economic impact of the Covid pandemic was not known. As the economy has begun to recover there has been a significant increase in inflation across the economy and in particular the price of construction materials. Whilst, some of this increase may be temporary, the cost of construction materials will be higher when construction contracts are let. Additionally, the programme was delayed owing to the impact of Covid as the new senior management structure and subsequent appointment of the lead Assistant Director for the capital programme were delayed.
- 6.2 Work is ongoing to identify one off resources to manage this risk and this will involve achieving capital receipts from the sale of the Council's remaining assets. These sales will either need to be achieved before capital commitments arise, or be certain of being achieved over the capital programme delivery period. A further report will be submitted to a future meeting once this work has been completed. The previous capital receipts target achieved £7.5m, which has all been spent, largely to replace the withdrawal of capital grant funding for Housing Market Renewal projects. These receipts took significantly longer to achieve than anticipated and have only recently covered expenditure incurred in previous years. The phasing shortfall was funded from temporary borrowing. The challenges of achieving the previous capital receipts target highlights the difficult local market and the low demand for land in the Council's ownership.
- 6.3 The strategic aspects of the capital programme, including the development of a new Leisure Attraction, remain appropriate as they secure significant grant funding from the Tees Valley Combined Authority - which would otherwise not be received, or would need to be spent on alternative projects meeting the grant conditions. Additionally, these projects integrate with the Towns Fund and the bid for Levelling Up funding, which as an overall package provides a once in a generation redevelopment opportunity and secure a new leisure facility to replace Mill House – which has past the end of its operational life.
- 6.4 In view of the very serious financial position facing the Council all opportunities to achieve recurring revenue saving need to be considered. There are two areas where the Council could potentially make Prudential Borrowing loan repayment savings to help towards reducing the overall recurring revenue deficit and relate to the following issues:

- **Neighbourhood Investment Plan (NIP) – potential revenue saving £40,000**

A capital provision of £1m has been provided within the capital programme to continue this initiative, which was established following the decision to remove Ward Member Budget to achieve a revenue budget saving.

Members had indicated the five priority themes for use of this funding:

- Infrastructure that supports Health, Physical Activity and Play;
- Toilet Facilities
- Shopping Parades North end of Fens Shops
- Sea Front (from Seaton Hotel to Station lane
- Covid 19 – Commemoration/sculpture

This is the final one off capital allocation and will not address all priorities which Members would wish to address. There are currently no identified commitments against this funding, as proposals have not been requested and then consider by Committee.

In view of the existing financial position Members need to determine if this capital budget is either

1. Retained - in which case there will be no revenue saving;
2. Reduced - which will provide a partial revenue saving;
3. Removed - which will provide a revenue savings of £40,000.

- **Wingfield Castle/Dam Board project**

Funding of £4m has been allocated to repair the dam boards as required in accordance with the lease agreement with the National Museum of the Royal Navy. Completion of these works would then enable the temporary relocation of the Trincomalee (which has been undertaken previously) to enable the Wingfield Castle to be dry docked and restored.

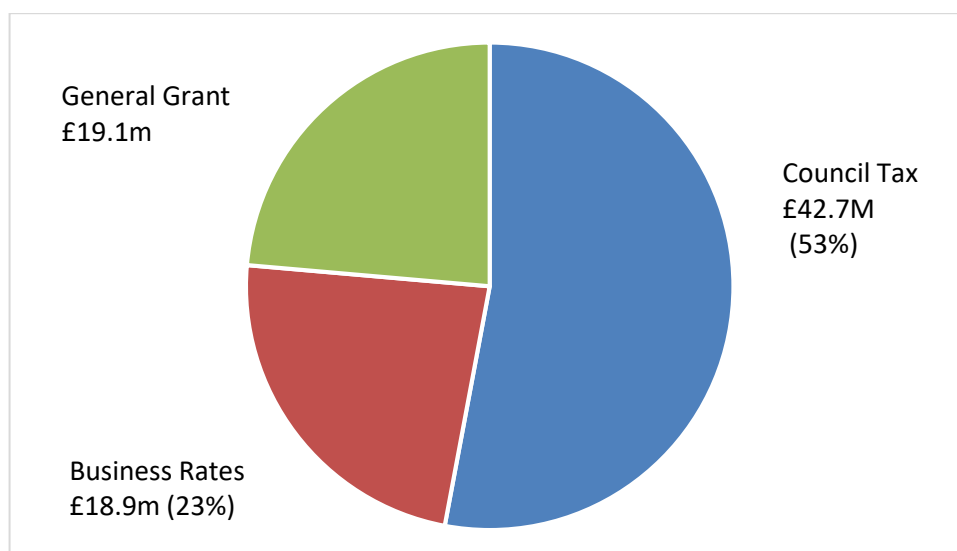
As a specification for restoring the Wingfield Castle has not been finalised there is a potential opportunity to consider alternative options. To enable this work to be completed it is recommended that Members instruct officer to bring a further report on the capital costs and revenue implications of potential options. This will then enable Members to determine which option they wish to adopt, whilst reflecting the financial challenges faced by the Council. The suggested option are as follows and a future report would detail the cost and outcomes to be delivered by each option:

- Option 1 - full restoration;
- Option 2 – partial restoration;
- Option 3 – no restoration and preservation / display of key historically important aspects of the Wingfield Castle.
- Option 4 – community asset transfer.

## 7. INCOME REVIEW

- 7.1 The Council generates annual income of approximately **£33m** from fees and charges, which includes statutory charges, means tested charges and locally determined charges. This income helps pay for services and to provide context for this figure the Council's other main sources of funding are as follows:

2021/22 Recurring Resources



- 7.2 **Appendix B** provides a summary of fees and charges income and shows 36 areas where income exceeds £100k – which covers 93% (£30.934m) of the total income.
- 7.3 This figures includes approximately £10m in relation of Residential Care fees (including self funders) which will be impacted by the changes announced by the Government on 7<sup>th</sup> September 2021. These changes cap the level of contribution individuals will make to their care costs and this may reduce this income, which should be replaced with additional grant funding from October 2023. A detailed assessment will be undertaken once more information is provided on how these national changes will be implemented.
- 7.4 The MTFS assumes the total income figures will increase by 2% annually – approximately £0.650m per annum. The forecast deficits would be higher without this forecast increase.
- 7.5 Current fees and charges have been reviewed to determine if additional income can be generated by increasing charges by more than 2%, whilst ensuring services remain accessible. This review has not identified any specific areas where income could be increased.
- 7.6 Given the size of the budget deficit we do not have the resources to work up proposals that will not be supported by Members and need to focus on delivery of achievable savings or income increases. There are potential

income streams which could be increased. Members need to provide a clear direction that they are prepared to implement these proposals. This will enable the Corporate Management Team to work up proposals, including appropriate consultation arrangements, which either achieve the income in a single year, or phase increases over the period of the MTFS. On this basis Members need to determine if they would support the following areas and if they do detailed proposals can be worked up and reported back to this Committee:

- **Garden Waste**

As detailed in Appendix A there are a range of options in relation to Garden Waste services.

- **Allotment charges**

As detailed in section 5 allotment charges could be increased to make the service self-funding and provide a saving.

Allotment charges currently generate income of £80,000 pa and consist of a 'lump-sum' service charge of £25 plus a variable element based on the size of the allotment plot of £0.175 per m<sup>2</sup>. As a result, current charges vary from £40.58 to £148.73 per annum which equates to between £0.78 and £2.86 per week.

To make the allotment service self-funding the annual income would need to double which would mean increasing the current charges to £50 service charge and £0.35 per m<sup>2</sup>. This would equate to a revised weekly charge of between £1.56 and £5.72.

To provide context for this figure an adult swim is £4.70 per session (non-member) and an hour of 5-a-side football at Mill House Leisure Centre for non-member is £5.10 per person (assuming 10 players).

A minimum 12 month period is needed to implement any increase in charges about inflation. Therefore, the soonest any proposal would benefit the budget position is from 2023/24.

For new tenancy the full new charge could be implemented at the start of the tenancy, or at the same level as existing tenants if the increase was phased.

## **7.7 Impact of Covid on income streams**

- 7.8 Income streams have been affected by the Covid pandemic and the January MTFS planning assumption anticipated all income would return to the pre-Covid level by March 2022. This planning assumption was made before the additional restrictions were announced, which meant services were closed for longer during 2021 and recovery has been delayed.

- 7.9 As detail in the quarter 1 Financial Monitoring report the Government's income support scheme has been extended to cover the first three months of 2021/22. This will cover 71% of eligible income losses and councils will fund the remaining 29%
- 7.10 It is anticipated that the income shortfall for 2021/22, including the actual net shortfall in the first three months, will be higher than previously forecast owing to greater and longer impact of Covid restrictions. There is a significant risks some income shortfall will continue into 2022/23. The impact will be assessed over the coming months as the recovery becomes clearer and details will be reported to a future meeting, including a proposed strategy for managing continuing income shortfalls.

## **8. OTHER CONSIDERATION**

### **8.1 Equality and Diversity**

- 8.2 The savings proposals put forward will impact on the delivery of frontline services or service users to varying degrees. There are some proposals which simply by the nature of the service area that they cover will impact on those with protected characteristics e.g. adult social care relating to older adults or those with disabilities. However, due to the financial challenges facing the Council we have no choice but to change, redesign and potentially close services to reduce costs. Where we may need to change, redesign and close services we are working to minimise the impact on those with protected characteristics and will focus on securing services for those who are the most vulnerable within those protected characteristics.
- 8.3 Members are aware from previous MTFS reports that in making financial decisions the Council is required to demonstrate that those decisions are made in a fair, transparent and accountable way, considering the needs and the rights of different members of the community. This is achieved through assessing the impact that changes to policies, procedures and practices could have on different equality groups.
- 8.4 Appendix A – Part 1 Summary of Initial Savings Proposals identifies those who could potentially be affected by each proposal from the 9 protected characteristics. Further analysis will be undertaken to determine who will be directly and indirectly impacted by the proposals and Equality Impact Assessments (EIA) will be undertaken where required. Further information will be provided within the reports to individual Policy Committees to enable Members to satisfy themselves that they are able to consider fully the potential impact of the proposed changes when making their decisions.
- 8.5 An overall central assessment will be undertaken to determine the cumulative impact of the savings proposals on each individual protected characteristic. This assessment will be included within the December MTFS report to be brought to Finance and Policy Committee.

## **8.6 Child and Family Poverty**

- 8.7 Appendix A – Part 1 Summary of Initial Savings Proposals identifies where proposal could potentially affect child and family poverty. Further analysis will be undertaken to determine who will be directly and indirectly impacted by the proposals and Child and Family Poverty Impact Assessments will be undertaken where required. Further information will be provided within the reports to individual Policy Committees to enable Members to satisfy themselves that they are able to consider fully the potential impact of the proposed changes when making their decisions.
- 8.8 An overall central assessment will be undertaken to determine the cumulative impact of the savings proposals on child and family poverty. This assessment will be included within the MTFS report that is expected to be brought to Finance and Policy Committee in December 2021.

## **8.9 Legal Considerations**

- 8.10 The following issues are relevant in relation to this report:
- the Local Government Finance Act 1992 requires local authorities to set a balanced budget – this report starts the budget process and further reports will enable budget proposals to be approved and then referred to Council to meet this requirement;
  - the Local Government Act 2003 requires local authorities to consider the advice of their Section 151 Chief Finance Officer (the Director of Resources and Development) when making budget decisions. This advice must include details of the robustness of the estimates made for the purposes of the calculations and the adequacy of the proposed financial reserves. These requirements will be addressed in future reports and initial advice is detailed later in the report.

## **8.11 Staff and Asset Management Considerations**

- 8.12 These are covered in the detailed savings proposals and the cumulative staffing impact will be included within the December MTFS report.

## **9. CONCLUSION**

- 9.1 The report details savings proposals which if approved by Members will address the remaining 2022/23 budget deficit and contribute towards reducing future years deficits. However, significant savings still need to be identified in 2023/24 and 2024/25 and will be subject to future reports.
- 9.2 Subject to the views of this Committee these proposals will be referred to individual Policy Committees. A further report will then be submitted to this Committee in December to enable Members to consider feedback from

individual Policy Committees and then determine the final proposals to be referred to Council.

- 9.3 If the savings proposals are not supported by Members they will need to provide a clear direction on the areas they are prepared to reduce from April 2022 as alternative proposal will need to be developed and all necessary consultation completed.

## 10. RECOMMENDATIONS

- 10.1 It is recommended that Members:

1. Consider the savings proposals detailed in Appendix A and determine if all these proposals should be referred to the relevant Policy committee, including the proposals which require a decision as part of the 2022/23 budget process to achieve a saving in 2023/24 owing to the lead time for implementation.
2. Specifically consider the savings proposals within the remit of this Committee detailed in Appendix A and determine if these proposals are supported.
3. Review the NIP capital budget of £1m to potentially achieve a revenue which will depend on which of the following options is adopted:
  - a) Retained full £1m capital budget - in which case there will be no revenue saving;
  - b) Reduced £1m capital budget - which will provide a partial revenue saving;
  - c) Removed full £1m capital budget– which will provide a revenue savings of £40,000.
4. Determine which of the following option they wish officers to explore in details in relation to the Wingfield Castle potentially reduce the capital budget and achieve a revenue budget saving:
  - Option 1 - full restoration;
  - Option 2 – partial restoration;
  - Option 3 – no restoration and preservation / display of key historically important aspects of the Wingfield Castle.
  - Option 4 – community asset transfer.
5. Note the Income Review detailed in section 7.

## 11. REASON FOR RECOMMENDATIONS

- 11.1 To determine the savings proposals to be referred to individual Policy Committees as part of the budget process.

## 12. BACKGROUND PAPERS

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

- Finance and Policy Committee - Medium Term Financial Strategy (MTFS) 2022/23 to 2024/25 – 13<sup>th</sup> September 2021;
- Finance and Policy Committee - Medium Term Financial Strategy (MTFS) 2021/22 to 2022/23 – 25<sup>th</sup> January 2021;
- Council - Medium Term Financial Strategy (MTFS) 2021/22 to 2022/23 – 28<sup>th</sup> January 2021.

## 13. CONTACT OFFICER

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Telephone: 01429 523003

Sign Off:-

Managing Director



Director of Resources and Development



Chief Solicitor





## Income from Sales, Fees & Charges

## 4.1 APPENDIX B

Department/Service	Budget 2020/21 £000	2% Inflation £000	Budget 2021/22 £000
<b>Adult and Community Based Services</b>			
Residential Care Contributions	9,799	196	9,995
Contribution to Non-Residential Care	2,634	53	2,687
Sport & Rec - Fees & Charges	1,422	28	1,450
Cems & Crems	1,282	26	1,308
Community Hubs - Fees, Charges & Sales	173	3	176
Adult Education Course Fees	172	3	175
Town Hall Theatre	198	4	202

Comparison/benchmarking of Hartlepool's charges with other Tees Valley Councils	Is there scope to increase charges - YES/No and then provide narrative for this position, including details of proposed increase
National Guidelines determine charging policy	No Scope to Increase as currently charging maximum possible
Low in comparison to some other LA's for some areas of service	Main areas are the 3 Leisure Centres (£1m) & Carlton (£0.3m); Historic income pressures within the Leisure Centres which will be partly addressed by Grayfields asset transfer saving; No scope for additional increases pending new facility (Highlight) and review of charges linked to Business Case and opening of new Centre; Carlton is effectively a self-funding budget (net £7k) so any potential increases would just offset costs; Impact of COVID on demand across all Sports and Recreation facilities unknown at this stage
On par	Not possible to charge more however service is currently reviewing their business model to be more commercial which could result in more income from 'residual' services eg. sale of headstones, plaques, vases etc; However, any additional income needs to be considered alongside service changes and additional costs such as for prudential borrowing needed to fund Stranton works (approximately £1m), site office move into former Inspirations etc
Varies depending on room size etc	Main areas of fees & charges are room hire /rental across the various facilities (£114k) and catering income (£42k); Room booking demand unknown as we recover from COVID and will be picked up as part of strategy development.
	Service is 100% grant funded; Additional Income target of £50k was introduced as part of 2017/18 MTFS but has never been achieved so no further scope to increase;
No Comparisons available	Historic budget pressures in these 2 areas arising from combination of 'community hire' and commercial hire and wider demand; Service delivery is being reviewed alongside capital developments at the Borough Hall and the Ampitheatre on the Headland. Further work to be undertaken as development works progress to determine whether scope for future additional income in excess of current budget. Borough Hall

Department/Service	Budget 2020/21 £000	2% Inflation £000	Budget 2021/22 £000
Borough Hall	108	2	110
DFG - Admin Fee	155	3	158
<b>Adults and Community Total</b>	<b>15,943</b>	<b>318</b>	<b>16,261</b>

Oscars – Fees and charges	159	3	162
Raising Education Achievement	285	6	291
Education Psychology – buy back	222	4	226
Special Needs Services – buy back	138	3	141
<b>Children's and Joint Commissioning</b>	<b>804</b>	<b>16</b>	<b>820</b>

Comparison/benchmarking of Hartlepool's charges with other Tees Valley Councils	Is there scope to increase charges - YES/No and then provide narrative for this position, including details of proposed increase
	(BH) will close for 18 months for refurbishment with an assumed pressure of c£90,000 - budget report being developed as part of BH programme planning.
% top-slice in line with or higher than other TV LA's	Grant has increased above 2% so can increase admin fee top-slice and this £25k saving has already been included within savings proposals

Most Councils do not deliver after school and holiday clubs. In the past Oscars has been a financial pressure for department and does not generate any additional income over and above delivery costs. Consideration is being given to pulling out of this service. No financial impact as service aims to be cost neutral	Any significant rise in charges could see reduction in demand with no financial impact. Full service review was planned but hasn't taken place due to work pressures during Covid.
Changing role of school buy back services, fewer schools are purchasing these services from local authority creating a financial pressure which has to be managed by department. As a consequence, within wider savings programme we are looking to restructure education service to generate savings and reduce costs linked to buy back.	Increases above inflation will be seen as unfair by schools and there is a wider market where they can purchase range of services. This will result in schools ceasing to buy back LA services and could create greater financial pressure which would require service cuts. If we could raise additional income from Buy Backs, we already have a budget pressure of roughly £125k across education services where schools are not buying back, and would use any additional income that could be raised to address this shortfall.
As above	As above
As above	As above

Department/Service	Budget 2020/21 £000	2% Inflation £000	Budget 2021/22 £000
DSO School Catering	3,306	66	3,372
Car Parking	1,702	34	1,736
Building Design Team Fees	1,771	35	1,806
Building Cleaning	1,309	26	1,335
Engineers Fees	671	13	684
Development Control	609	12	621

Comparison/benchmarking of Hartlepool's charges with other Tees Valley Councils	Is there scope to increase charges - YES/No and then provide narrative for this position, including details of proposed increase
20/21 meal prices (which do not necessarily reflect income received by meal providers): Middlesbrough £2.05; Stockton £2.05; Redcar & Cleveland no service. HBC increased from £2.05 to £2.13 (4%) from 1/9/21	No - There is little scope to increase meal charges above 2% to be able to make an added contribution to the General Fund budget. Any price rise on school meals will firstly need to cover the increasing costs (especially pay and food) and ensure a stable trading position - which is currently very uncertain because of the lost income due to Covid. The price setting decision for Sept 2022 will need to be carefully assessed to avoid loss of schools to competitors and pupil uptake being adversely impacted. A lower income base would make it very difficult to balance the trading budget with £144k of central overheads still needing to be covered.
	No - The charging in some car parks is being reviewed as part of the savings exercise and they have already been submitted. The car parking budget has in recent years struggled to make predicted income. Whilst we currently have the Free for 3 hrs in place funded by TVCA the budget will balance, however we will need to access any long term impacts from covid before we can consider any further increases, which will also help us to hopefully balance the budget.
Commercially sensitive	No - any increase above a 2% rise would impact on our ability to secure work both internally and externally.
Commercially sensitive	No - Whilst a 2% rise can potentially be added in April 2022 and thereafter to cover increased costs, setting a higher inflationary rise to generate a contribution to the General Fund deficit is very risky. The schools market in particular is unlikely to be able to bear an excessive rise and clients would potentially begin to look to competitors to provide this service. A lower income base would make it difficult to balance the trading budget.
Commercially sensitive	No - we cannot generate profits from highways permits
	No- Planning fees are set by central government and we can only increase discretionary fees such as for informal applications. These were recently changed and increased in Aug 2021.

Department/Service	Budget 2020/21 £000	2% Inflation £000	Budget 2021/22 £000
Home to School and Other Passenger Transport	480	10	490
Waste - Trade Waste	423	8	431
Stores & Plant Sales	388	8	396
Waste - Recycling Income	384	8	392
Public Protection - Licences	366	7	373
Building Control	175	4	179
Street Works Permits & Licences 2020	154	3	157
Building Maintenance	152	3	155
<b>Neighbourhoods and Regulatory Services</b>	<b>11,890</b>	<b>238</b>	<b>12,128</b>

Non Operational Property Rents	251	5	256
Hartlepool Enterprise Centre	166	3	169
BIS (ISQ Workspace)	140	3	143
Corporate Finance	225	5	230
HR & Health and Safety	203	4	207
Payroll	170	3	173

Comparison/benchmarking of Hartlepool's charges with other Tees Valley Councils	Is there scope to increase charges - YES/No and then provide narrative for this position, including details of proposed increase
	Yes - however this could impact on user numbers if we do, which could then affect the income generated, so additional work would be required to determine increase and impact
	No - requirement to remain competitive.
	No - requirement to remain competitive.
	No - requirement to remain competitive.
	See Word Document
	No - requirement to remain competitive.
	No - we are already running at a surplus which we have to carefully manage as we can not generate large profits from highway permits
	No - cost of construction materials is having a major impact on projects.

Market drive and reflects local priorities	No - Rental agreements determine rents for a defined period and rents are reviewed in line with local market conditions. There is currently no scope to increase total rental above the 2% annual inflation increase.
Market drive and reflects local priorities	No - the centre requires significant capital investment and an options appraisals will be considered by the Economic Growth and Regeneration Committee.
Market drive and reflects local priorities	No - the rent levels were set as part the Business Plan at a level to support new businesses. Covid has impacted on the achievement of the Business Plan milestones for occupancy levels and the position will continue to be monitored closely.
Reflects services provided	No - this income reflects services sold to external organisation under agreed Service Level Agreements e.g. Cleveland Fire Authority and Schools. Both the Council and the external organisations benefit from economies of scale as fixed costs are shared.

Department/Service	Budget 2020/21 £000	2% Inflation £000	Budget 2021/22 £000
Registrars	140	3	143
RTB Share income	200	4	204
Shopping Centre - Rent	196	4	200
Total Resources and Development	1,691	34	1,725

<b>Total All Fees and Charegs above £100k</b>	<b>30,328</b>	<b>606</b>	<b>30,934</b>
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Total All Fees and Charegs below £100k	2,112	43	2,155
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<b>Total All Fees and Charges</b>	<b>32,440</b>	<b>649</b>	<b>33,089</b>
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Comparison/benchmarking of Hartlepool's charges with other Tees Valley Councils	Is there scope to increase charges - YES/No and then provide narrative for this position, including details of proposed increase
Hartlepool's non-statutory fees are on par when compared with regional registration districts.	Registration fees are either statutory (set by the General Registration Office) or non statutory (set locally). The service has no influence in the setting of statutory fees. A previous service review found that increasing non statutory fees for ceremonies would result in Hartlepool becoming one of the most expensive registration districts in the region. There is limited benefit in raising any of the other non-statutory fees as these services are not in high demand.
	No - as part of the Stock Transfer agreement the Council will receives £7m from RTB sales. At 31.03.21 £5.5m has been received. The annual flow income included in the MTFs is £0.2m and is normally achieved each year.
	No - as part of the previous sale of the Shopping Centre the Council receives 15% of the rental income and this has reduced over recent years owing to trends in the retail sector.

# FINANCE AND POLICY COMMITTEE

15<sup>th</sup> October 2021



**Report of:** Director of Resources and Development

**Subject:** STRATEGIC FINANCIAL MANAGEMENT REPORT  
- AS AT 31<sup>st</sup> August 2021

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## 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) 2021/22 Forecast General Fund Outturn;
- ii) Corporate Income Collection Performance; and
- iii) 2021/22 Capital Programme Monitoring.

## 3. BACKGROUND AND FINANCIAL OUTLOOK

3.1 The continuation of the Covid pandemic, the resulting extension of lock down restrictions and subsequent phased reopening of the economy will continue to have a financial impact on councils in 2021/22. The impact should be significantly less than in 2020/21, although it is still unclear how long some of these issues will last. These issues continue to be driven by five key factors:

- Increased expenditure
- Reduced service income
- Uncertainty regarding Local Council Tax Support (LCTS) eligible households
- Reduced Business Rates income
- Reduced Council Tax income from housing growth

3.2 As reported to Finance and Policy Committee (25.01.21) and Council (25.02.21) the Government announced a final allocation for local authorities of £1.55 billion of additional un-ringfenced funding for Covid-19 financial pressures. The Council has been allocated £3.178m. The Government has indicated this is the final Covid grant they will pay to councils.

- 3.3 This is one off funding and the Government expects the funding to be focused on Covid pressures impacting on adult social care, children's services, public health services, households waste services, shielding the clinically vulnerable, homelessness and rough sleeping, domestic abuse, managing excess deaths, support for re-opening this country and the additional costs associated with the local election in May 2021.
- 3.4 At the time the budget report was considered the impact of Covid was continuing to change, including the impact of the statement made by the Prime Minister on 4<sup>th</sup> January 2021 regarding the new variant of the virus and the resulting further restrictions.
- 3.5 In view of this uncertainty it was, and remains, unclear what level of additional service demands / costs and ongoing income reductions the Council will face during 2021/22 and 2022/23 against this grant.
- 3.6 Therefore, Finance and Policy Committee, and Council approved the recommendation that no commitments were made against the grant as part of the budget setting process for 2021/22. It was noted that the position would continue to be monitored closely and that any detailed proposals for using this grant are reported to Finance and Policy Committee for consideration and approval.
- 3.7 **Adult Social Care**
- 3.8 As reported on 13<sup>th</sup> September financial support of £0.618m is being provided to the Social Care sector and funded from the 2021/22 Covid grant.
- 3.9 **Income impacts**
- 3.10 The impact of Covid on service income is greater than anticipated and this reflects the extended lock down arrangements and resulting lifting of restrictions. It is too early to assess how these income streams will recover in the current year. Additionally, some of these impacts may not recover until 2022/23 and the position will continue to be monitored closely over the remainder of the year.
- 3.11 The continuing impact of Covid has been recognised by the Government and the income compensation scheme was extended to June 2021. This scheme provides a grant of 71% for eligible income losses. Councils fund the remaining 29% and any losses continuing for the remainder of the year. These income losses will also need to be funded from the 2021/22 Covid grant.
- 3.12 The recovery of income over the remainder of the year will be monitored carefully and the forecast outturn assumes no further significant restrictions are implemented over the winter period, which would increase income reductions.
- 3.13 **National Pay Award**
- 3.14 In line with the Chancellor's announcement of a public sector pay pause, other than for NHS staff who had been offered a 1% increase and up to £250 for

people earning below £25,000, no provision has been made in the 2021/22 budget for a pay increase.

- 3.15 The MTFs report advised Members that this was a potential risk as each 1% increase equates to a recurring cost pressure of £0.5m.
- 3.16 The National Employers Organisation has made a pay offer of 1.75% - an unfunded cost pressure of £0.875m for 2021/22. This offer has been rejected by the Trade Unions. It is not clear if an increased offer will be made.
- 3.17 For planning purposes a strategy will need to be developed to fund the unbudgeted cost in 2021/22. From 2022/23 a permanent strategy will need to be developed as the recurring impact increased the previously forecast budget deficit. At this stage it is recommended the strategy is based on funding a 1.75% increase, noting the risk the actual increase may be higher, and seeks to fund by:
- Minimising 2021/22 expenditure where possible and does not impact on service deliver;
  - With the balance funded from the £3.2 million Covid grant referred to earlier. This will require existing eligible spending to be earmarked against this grant to then release reserves already allocated to supporting the 2021/22 budget.
- 3.18 **Children and Joint Commissioning Services**
- 3.19 The Council has received one-off New Burdens funding of £0.237m in 2021/2022 relating to the new duties arising from the Domestic Abuse Act 2021. The Act aims to ensure that victims of domestic abuse have the confidence to come forward and report their experiences, safe in the knowledge that the State will do everything it can, both to support them and their children and pursue the abuser. The Act passed into legislation in April 2021 will come into force in 2021 and early 2022.
- 3.20 This funding will be utilised to deliver the additional duties placed on local authorities under the new legislation to:
- Provide support to victims of domestic abuse and their children in refuges and other safe accommodation.
  - Provide that all eligible homeless victims of domestic abuse automatically have 'priority need' for homelessness assistance.
  - Ensure that where a local authority, for reasons connected with domestic abuse, grants a new secure tenancy to a social tenant who had or has a secure lifetime or assured tenancy (other than an assured shorthold tenancy) this must be a secure lifetime tenancy.
- 3.21 The allocation of the grant is currently a one year allocation only. There is no indication as to whether further funding will be received in future years to support the local authority in fulfilling these new statutory duties. Therefore, at this stage, the commitments against the grant can only be made for one year with any underspend against the grant being carried forward to support the work in 2022/23



### 3.22 Summary of 2021/22 Forecast General Fund Outturn

- 3.23 The current forecast outturn position is summarised below and this shows total commitments against the 2021/22 Covid grant of £2.120m, which reflects support of the Adult Care Sector, income shortfalls arising from the impact of Covid, higher Looked after Children caseload than is provided in the base budget which is owing to the impact of Covid and the national pay award. The opening of an additional children's home will reduce the ongoing costs in relation to Looked after Children. After reflecting these commitments this leaves uncommitted 2021/22 Covid grant of £1.058m to manage further potential Covid financial impacts over the remainder of the year. The position is summarised below and on **Appendix A** and details can be found in **Appendices B to E:**

	Net Forecast - Overspend/ (Underspend)
	£'000
Adult & Community Based Services	(515)
Children's & Joint Commissioning	1,105
Neighbourhood & Regulatory Services	485
Resources & Development - Dev & Growth	40
Resources & Development	(158)
Corporate	190
Pay Award	875
<b>Total Forecast Budget Overspend</b>	<b>2,022</b>
Quarter 1 COVID Lost Income Grant	(520)
Support for Social Care Providers	618
Current Commitment against 2021/22 COVID Grant	2,120

## 4. Business Rates Income

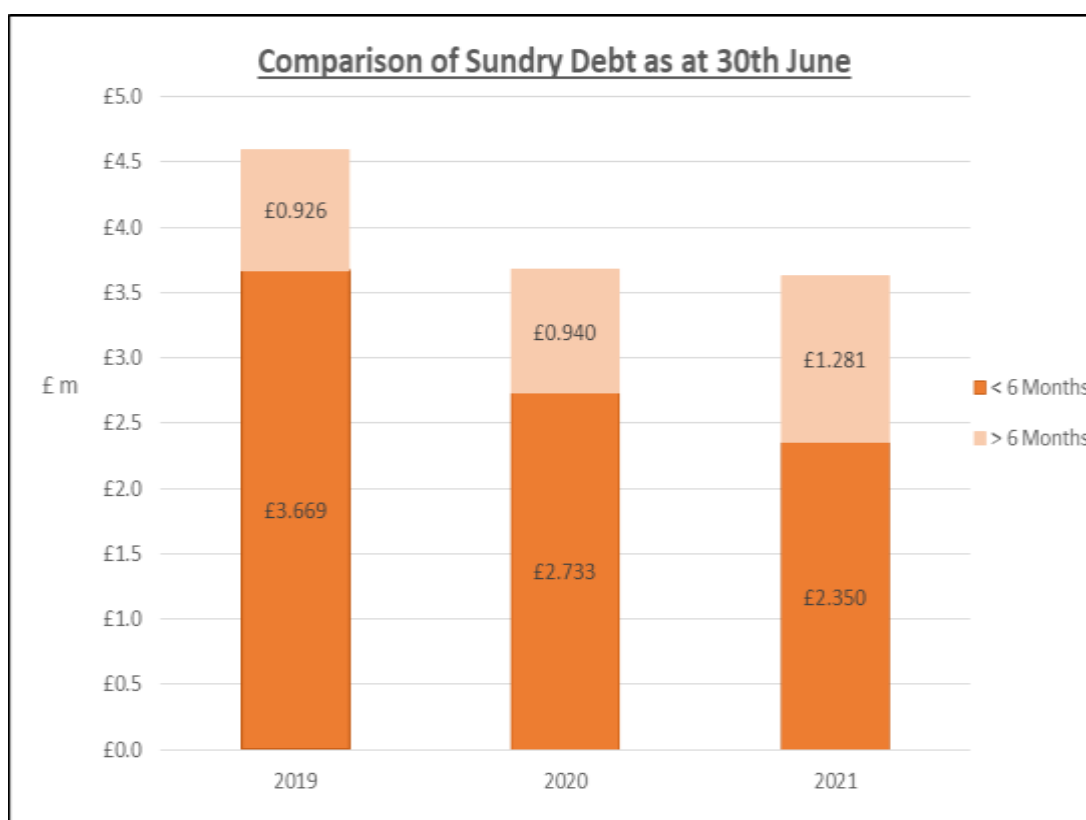
- 4.1 The government has continued to support businesses into 2021/22 in response to the pandemic. The Budget held on 4<sup>th</sup> March extended the existing relief for three months, providing 100% discount for Retail, Hospitality, Leisure and Nursery premises from 1<sup>st</sup> April to 30<sup>th</sup> June. For the rest of the year (1<sup>st</sup> July to 31<sup>st</sup> March 2022) a 66% relief will apply, capped at either £0.105m or £2m per business, dependent on whether it was required to be closed on 5 January 2021. As with 2020/21 this results in a significant reduction in collectable business rates, but with full compensation by Government via a Section 31 grant. However, the operation of the collection fund means that a significant deficit will arise in year with the Section 31 grants set aside as a "technical" reserve to

make good this deficit in 2022/23. It would have been clearer if the accounting regulations has been revised for the impact of Covid and the income shortfall and compensating Section 31 grant to be recognised in the Collection Fund in 2021/22 – rather than the accounting being delayed to 2022/23.

- 4.2 The first quarter of the year also saw the continuation of various Covid grant schemes resulting in a significant administrative burden on the team as we worked to make payment as soon as possible.
- 4.3 In light of the support outlined above the Council has delayed reminders and recovery action until August. Whilst this has impacted both the in-year collection rates and collection of arrears to date, at this stage it is envisaged that collection rates will recover during the remainder of the year.
- 4.4 At the 30<sup>th</sup> June 2021 the Council had collected 16.52% of the 2021/22 liability. This compares to 14.43% as at the same point in 2020/21 demonstrating the collection rate recovery. Whilst the collection rate was 19.38% at this stage in the year during 2019/20, the current position reflects an outstanding liability with regard to a major ratepayer which, had it been paid would have pushed collection rates closer to pre-pandemic levels. The council is in regular contact the ratepayer and greater clarity on the position is anticipated by October.
- 4.5 An update will be provided at second review on both collection and forecast collection fund outturn taking into account the latest position on reliefs awarded
- 4.6 **Council Tax**
- 4.7 Whilst collection figures for Council Tax are showing recovery from the pandemic, there remains a number of challenges on both collection rates and the overall collection fund position.
- 4.8 As at the 30<sup>th</sup> June 2021 the Council had collected 26.8% of the 2021/22 liability, compared to 26.2% for the previous year. For 2019/20 the corresponding figure was 27.6%. The slight reduction in collection reflects the supportive approach we have continued to adopt as the economy recovered, including the reduction in the number of people furloughed. In addition availability of court dates and restrictions on the cases presented have impacted on recovery.
- 4.9 There remains uncertainty in relation the number of households eligible for LCTS and the impact of the furloughing scheme being phased out by the 30<sup>th</sup> of September. The Council Tax Base for the year assumed an increase in the LCTS caseload during the year. Thankfully to date this has not materialized, and at the end of June 2021 the caseload remained steady at 13,639 of which 9,034 were working age.
- 4.10 There remains considerable uncertainties, not least the ending of the furlough scheme. An update on the collection performance and forecast collection fund outturn will be provided to a future meeting.

#### 4.11 Sundry Debts

- 4.12 The Council also collects significant Sundry Debts income for the payment of services provided by the Council. In total £8.1m of sundry debts were raised in the first three months of 2021/22. As at 1<sup>st</sup> September 2021, £6.967m (86.0%) of this amount had been collected.
- 4.13 Robust procedures for collecting the remaining outstanding debt are in place. The following graph shows the comparable positions at 30<sup>th</sup> June for the last three years for long term debt and current debt which has been outstanding for less than six months.



- 4.14 Debtors totalled £3.631m as at 30<sup>th</sup> June 2021, of which £2.350m (64.7%) relates to current debts (less than 6 months old).
- 4.15 Included within current debts (less than 6 months old) is debt where the customer has been invoiced for the whole of 2021/22 but payment is to be received in instalments throughout the year.
- 4.16 Debts greater than 6 months old total £1.281m. 91.7% (£1.174m) of this amount is under recovery action and 8.3% (£0.106m) is now considered unrecoverable and will be reported to Members for write off later in the year.

## 5. 2020/21 Capital Programme Monitoring

5.1 Capital Expenditure for all Departments to the 31<sup>st</sup> August 2021 is summarised in the table below.

Department	BUDGET	EXPENDITURE IN CURRENT YEAR				
	A	B	C	D	E	F
	2021/22 Budget £'000	2021/22 Actual as at 31/08/21 £'000	2021/22 Expenditure Remaining £'000	Expenditure Rephased into 2022/23 £'000	(B+C+D) 2021/22 Total Expenditure £'000	(E-A) 2021/22 Variance from Budget £'000
Adult & Community Based Services	29,778	511	6,114	23,153	29,778	0
Children's & Joint Commissioning Services	8,092	641	7,451	0	8,092	0
Neighbourhoods & Regulatory Services	31,655	2,415	10,258	18,982	31,655	0
Resources & Development	2,505	3	2,203	299	2,505	0
Corporate	1,470	141	1,329	0	1,470	0
<b>Total Capital Expenditure</b>	<b>73,500</b>	<b>3,711</b>	<b>27,355</b>	<b>42,434</b>	<b>73,500</b>	<b>0</b>

5.2 Actual expenditure to 31<sup>st</sup> August, 2021 was £3.711m, compared to a 2021/22 budget of £73.500m; £42.434m has been rephased to 2022/23 leaving £27.355m to be spent during the remainder of 2021/22. 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:

- Highlight – New Leisure Centre - £18.462m
- A19 Grade Separated Junction Elwick By-Pass and Hartlepool Western Link - £17.45m

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

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

## 5.5 Section 106 Developers Contributions

5.6 The level of contributions for housing and non - housing service areas as at 31<sup>st</sup> July 2021 is summarised in the following table. A detailed breakdown is included in **Appendix K**.

## 6. CONCLUSION

6.1 The forecasts in this report are based on experience of the first five months of this financial year, which in normal circumstances are not a reliable indication for the year end position owing to the impact of seasonal winter factors for many service areas. The continuing impact of Covid makes this position even more uncertain.

- 6.2 It had been hoped to minimise use of the 2021/22 Covid grant for additional costs / income reductions. This would then enable this grant to be used to replace use of the Council's own reserves, which could then be used to support the budget in future years.
- 6.3 Changes in external factors, including continued support to Social Care and increased income reductions owing to the prolong impact of Covid, mean that £2.120m of the £3.178m Covid grant will be committed in the current year. The balance of this funding, £1.058m, may be committed over the winter period if there are further Covid financial impacts in 2021/22, or carried forward for continuing Covid commitments in 2022/23.
- 6.4 The provision of additional grant by the Government in 2021/22 and 2022/23 has supported councils during this unprecedented period. At a local level this funding has been managed extremely carefully to ensure it covered necessary expenditure to support increased service costs (e.g. support of the Adult Care Sector) and to offset reductions in income arising from Covid restrictions. The position would have been unmanageable for council's without this funding.
- 6.5 There remains a risk that Covid continues to impact into 2022/23 and the Government has so far indicated that no further funding will be provided. Therefore, continuing to manage the remaining funding will be a priority to ensure resources are available to meet any further Covid commitments. This strategy aims to avoid increasing the existing budget deficit. Further updates will be provided as the year progresses and the position becomes more certain.

## 7. RECOMMENDATIONS

- 7.1 It is recommended Members note the report.

## 8. REASONS FOR RECOMMENDATIONS

To keep Finance and Policy Committee updated on the Council's 2021/22 financial position.

## 9. CONTACT OFFICER

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

Sign Off:-

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

**Summary of 2021/22 Forecast General Fund Outturn**

	<b>Net Forecast - Overspend/ (Underspend)</b>
	<b>£'000</b>
Adult & Community Based Services	(515)
Children's & Joint Commissioning	1,105
Neighbourhood & Regulatory Services	485
Resources & Development - Dev & Growth	40
Resources & Development	(158)
Corporate	190
Pay Award	875
<b>Total Forecast Budget Overspend</b>	<b>2,022</b>
Quarter 1 COVID Lost Income Grant	(520)
Support for Social Care Providers	618
Current Commitment against 2021/22 COVID Grant	2,120

## REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2021/22 as at 31 August 2021

Approved 2021/2022 Budget  £'000	Description of Service Area	Forecast Outturn Adverse/ (Favourable) £'000	Director's Explanation of Variance
<b>Finance and Policy Committee</b>			
(164)	Benefits	(70)	Favourable variance owing to vacant posts.
(987)	Central Administration Recharges	0	
128	Communications and Marketing	64	The adverse variance is owing to a reduction in income generation..
1,015	Corporate Finance	(140)	The favourable variance is owing to vacant posts, posts not being at the top of the grade.
580	Corporate Strategy & Public Consultation	(64)	Favourable variance owing to vacant posts, posts not being at the top of the grade and some supplies and services savings.
(143)	Council Tax & Housing Benefits Subsidy	0	The grant generates £26m in subsidy, but the grant is reducing along with the current transfer rate of claimants across to Universal Credit. The anticipated variance will be reviewed during the Mid Year Review, which will be submitted to DWP.
960	Customer and Support Services	(20)	Favourable variance owing to vacant posts and posts not being at the top of the grade.
516	Economic Regeneration	0	At this stage the expected income shortfalls for Business Support Units such as the BIS can be offset by savings on non-staffing costs and limiting budgeted spend on equipment and building alterations.
501	Human Resources & Health and Safety	(15)	Favourable variance owing to vacant posts and posts not being at the top of the grade.
233	Internal Audit	0	
(129)	Registration Services	60	The adverse variance is owing to a reduction in income generation on both birth and death registration resulting from services being
966	Revenues	11	The adverse variance is owing to additional credit card commission charges.
(516)	Revenue & Benefits Central	101	An adverse variance owing to a reduction in the grant for Non Domestic Rates of £24k, along with an adverse variance on Court Costs collected.
519	Shared Services	(46)	The favourable variance is owing to vacant posts, and some posts not being at the top of the grade.
11	Strategic Asset Management	40	The adverse variance relates income shortfalls in relation to fees including capital receipt fee income.
4	Training & Equality	0	
414	Corporate Management Running Expenses	(42)	The favourable variance is owing to savings on the Corporate Subscriptions budget and savings on the Trade Union budget.
<b>3,908</b>	<b>Resources &amp; Development</b>	<b>(121)</b>	
39	Civic Attendants	0	
165	Democratic	(7)	The favourable variance is owing to reduced hours on one post.
527	Legal Services	10	An adverse variance owing to a reduction in income generation.
163	Municipal Elections and Registration of Electors	0	
(6)	Other Office Services	0	
105	Procurement	0	
(82)	Reprographics	0	
98	Scrutiny	0	
129	Support to Members	0	
<b>1,138</b>	<b>Legal</b>	<b>3</b>	
<b>5,046</b>	<b>Finance and Policy Committee Total</b>	<b>(118)</b>	

## PLANNED USE OF RESERVES

The above figures include the 2021/2220 approved budget along with the planned use of Departmental Reserves created in previous years.

The details below provide a breakdown of these reserves

Approved 2021/2022 Budget  £'000	Description of Service Area	Actual Usage 2021/2022 £'000	Variance Over/ (Under) £'000	Director's Explanation of Variance
<b>Finance and Policy Committee</b>				
30	BIS Income	30	0	
10	Digital Development of Firmstep	10	0	
47	Finance - IT Investment Shared Services	47	0	
5	Registrars	5	0	
85	Department Ring Fenced Grants	85	0	
<b>177</b>	<b>Total</b>	<b>177</b>	<b>0</b>	

## REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2021/22 as at 31 August 2021

Approved 2021/2022 Budget	Description of Service Area	Forecast Outturn Adverse/ (Favourable)	Director's Explanation of Variance
£'000		£'000	
<b>Children's Committee</b>			
123	Access to Education	0	
172	Central Support Services	0	
20,335	Children and Families	1,060	The adverse variance mainly relates to an increase in the numbers of children required to be placed in external residential placements which, by their nature, are high cost.
1,830	Early Intervention	(165)	The favourable variance mainly relates to delays in awarding a housing related support contract and some increased grant income.
487	Other School Related Expenditure	(6)	
1	Play & Care	55	The adverse variance relates to reduced income as a result of COVID.
437	Raising Educational Achievement	259	The adverse variance reflects expected income shortfalls as a result of COVID.
294	Special Needs Services	0	
286	Standards, Engagement & Development	(55)	The favourable variance mainly relates to forecast underspends against the training and development budgets arising from the impact of COVID.
1,209	Strategic Commissioning	10	
372	Strategic Management	(19)	Savings relate to supplies and services
273	Youth Justice Service	0	
316	Youth Service	(35)	Savings linked to staffing where staff are not at top of grade
<b>25,840</b>	<b>Children's and Joint Commissioning Services</b>	<b>1,104</b>	
<b>Public Health Grant</b>			
3,920	Children's Services	0	
2,377	Substance Misuse Services	(10)	
1,464	General Public Health Support Services	(90)	The favourable variance mainly relates to the vacant 'Deputy Director of Public Health' post.
655	Sexual Health Services	18	The adverse variance relates to the one-off contribution to the Sexual Health collaborative regarding the commissioning of the new contract.
296	Physical Activity	0	
166	Mental Health	0	
110	Health Checks	0	
98	Obesity	0	
(9,086)	Public Health Grant	0	
0	Contribution to Ring-Fenced Public Health Reserve	82	Any underspend against the Public Health grant is transferred to the ring-fenced Public Health grant reserve to support activity in future years.
<b>0</b>	<b>Public Health Grant</b>	<b>0</b>	
<b>25,840</b>	<b>Children's and Joint Commissioning Services Total (inc Public Health Grant)</b>	<b>1,104</b>	



CHILDREN'S & JOINT COMMISSIONING SERVICES  
PLANNED USE OF RESERVES

The above figures include the 2021/2022 approved budget along with the planned use of Departmental Reserves created in previous years.

The details below provide a breakdown of these reserves

Approved 2021/2022 Budget  £'000	Description of Service Area	Actual Adverse/ (Favourable)  £'000	Variance Over/ (Under)  £'000	Director's Explanation of Variance
Children's Committee				
167	Multi-Agency / Community Support Team	167	0	
59	Signs of Safety / Fostering	59	0	
226	Children's and Joint Commissioning Services Total (inc Public Health Grant)	226	0	

MEMO:-	Dedicated Schools Grant	Actual Outturn Adverse/ (Favourable)	Director's Explanation of Variance
6,365	Early Years Block	(88)	Savings against both 2 year old and 3-4 year old entitlements are anticipated
12,689	High Needs Block	121	The adverse variance is primarily linked to Independent School Fees
24,172	Schools Block	20	Staffing costs within the Admissions Services are expected to exceed budget
43,225	TOTAL Dedicated Schools Grant	54	

## REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2021/22 as at 31 August 2021

Approved 2021/2022 Budget  £'000	Description of Service Area	Forecast Outturn Adverse/ (Favourable) £'000	Director's Explanation of Variance
<b>Adult &amp; Community Based Services Committee</b>			
150	Adult Education	0	
20	Archaeology	25	The adverse variance relates to reduced income as a result of COVID.
1	Carers & Assistive Technology	0	
(186)	Coast, Countryside & Heritage	(10)	
2,457	Commissioning - Adults	(50)	The favourable variance mainly relates to early achievement of 2022/23 savings.
1,490	Community Hubs	30	The adverse variance reflects a budget pressure linked to proposed closure of branch libraries in 2018/19 that has not been implemented and reduced income as a result of COVID, partly offset by staff vacancies and incremental drift.
761	Cultural Services	170	The adverse variance relates to reduced income across the Town Hall Theatre and Borough Hall as a result of COVID.
(87)	Departmental Running Costs	35	The adverse variance mainly relates to the additional staffing capacity being funded from the overall outturn rather than using reserves.
646	Direct Care & Support Team	(15)	
0	Employment & Skills	0	
73	General Allotments	0	
715	LD & Transition Social Work	0	
1,890	Locality & Safeguarding Team	200	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.
1,098	Mental Health Services	0	
1,385	OT & Disability Equipment	(105)	The favourable variance relates to OT equipment and the minor adaptations budgets with COVID impacting access to clients
1,498	Packages of Care - Mental Health	(200)	The favourable variance reflects the current position following a review of packages of care, including clients becoming fully health funded.
11,299	Packages of Care - Older People	(290)	The favourable variance mainly relates to clients discharged from hospital during the year requiring a care package being either fully or part funded by specific external COVID related funding. This is an early estimate and the projection will be revised as the year progresses.
9,703	Packages of Care - Working Age Adults	(800)	The favourable variance reflects the current position following a review of packages of care, including clients moving into Older People budgets as a result of their age and care needs. This is an early estimate and the projection will be revised as the year progresses.
530	Sports, Leisure & Rec Facilities	540	The adverse variance relates to reduced income across all facilities as a result of COVID.
977	Working Age Adult Day Services	(45)	The favourable variance mainly relates to staff vacancies and incremental drift.
<b>34,420</b>	<b>Adult &amp; Community Based Services Committee Total</b>	<b>(515)</b>	

## PLANNED USE OF RESERVES

The above figures include the 2021/2022 approved budget along with the planned use of Departmental Reserves created in previous years.

The details below provide a breakdown of these reserves

Approved £'000	Description of Service Area	Actual Usage £'000	Variance Over/ £'000	Director's Explanation of Variance
<b>Adult &amp; Community Based Services Committee</b>				
5	Carers Contract	5	0	
53	Community Led Support Project	53	0	
10	Events	10	0	
67	Sport & Recreation Posts	67	0	
<b>135</b>	<b>Adult &amp; Community Based Services Committee Total</b>	<b>135</b>	<b>0</b>	

## REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2021/22 as at 31 August 2021

Approved 2021/2022 Budget	Description of Service Area	Forecast Outturn Adverse/ (Favourable)	Director's Explanation of Variance
£'000		£'000	
(218)	Building Design Team	250	The adverse variance relates to a forecast shortfall in fee income from capital schemes.
(792)	Car Parking	0	
963	Community Safety & Engagement	(25)	Savings on various non-pay budgets such as mileage, printing, office consumables in addition to borrowing costs on CCTV rephased capital expenditure
(133)	Construction Support Services	0	
83	Construction Team	0	
312	Engineering & Design	0	
2,795	Environmental Services	0	
1,083	Facilities Management	0	
(306)	Highways Trading	0	
2,640	Highways & Transportation	0	
1,651	Passenger Transport	0	
332	Planning & Development	140	The adverse variance relates to a forecast shortfall in planning income.
863	Public Protection	20	The adverse variance is owing to a shortfall in Licensing income.
133	Road Safety	0	
394	Strategic Management & Admin	0	
926	Street Lighting	30	Relates to energy costs and assumes a similar level of consumption and rates compared to last year which may yet be offset with other savings within Highways, which will be closely monitored and updated as the year progresses.
2,463	Sustainable Transport Concessionary Fares	(200)	Favourable variance relates to the anticipated contract for the current year being below the base budget provision.
(81)	Vehicle Fleet	(100)	The favourable variance relates to lower borrowing costs owing to the rephasing of vehicle replacements. The delivery of new vehicles has been delayed as a result of the pandemic but so far the savings have still outweighed the additional costs of ageing vehicles and resulting increasing repair requirements.
5,197	Waste & Environmental Services	370	The forecast adverse variance includes costs in relation to social distancing that are currently assumed to continue for the rest of the year.
18,304	Neighbourhoods & Regulatory Total	485	

## PLANNED USE OF RESERVES

The above figures include the 2021/2022 approved budget along with the planned use of Departmental Reserves created in previous years.  
The details below provide a breakdown of these reserves

Approved 2021/2022 Budget	Description of Service Area	Actual Usage 2021/2022	Variance Over/ (Under)	Director's Explanation of Variance
£'000		£'000	£'000	
16	Public Health - Public Protection	16	0	
16	Total	16	0	

# ADULT & COMMUNITY BASED SERVICES

# 7.1 APPENDIX F

## CAPITAL MONITORING REPORT PERIOD ENDING 31st AUGUST 2021

Project Code	Scheme Title	BUDGET	EXPENDITURE IN CURRENT YEAR					Type of Financing	2021/22 COMMENTS
		A	B	C	D	E	F		
		2021/22 Budget £'000	2021/22 Actual as at 31/08/21 £'000	2021/22 Expenditure Remaining £'000	Expenditure Rephased into 2022/23 £'000	(B+C) 2021/22 Total Expenditure £'000	(D-A) 2021/22 Variance from Budget £'000		
Adult & Community Based Services									
S106	Play Schemes	125	6	119	0	125	0	GRANT	S106 contributions allocated to specific schemes - details are set out in Appendix K
7348	Art Gallery	11	0	11	0	11	0	GRANT	
PLAY	Parks & Playgrounds	52	0	52	0	52	0	GRANT	
7447	Headland Amphitheatre	955	0	955	0	955	0	MIX	
7212	Adult Social Care - Capital Grants	149	0	149	0	149	0	RCCO	
7218	Disabled Facilities Grant	1,707	185	1,522	0	1,707	0	GRANT	
7234	Chronically Sick and Disabled Persons Adaptations	235	17	218	0	235	0	MIX	
7483	Reinstate 3G Pitch at Grayfields	205	117	88	0	205	0	MIX	
7543	Waverley Terrace Allotments - Car Park Improvements	21	11	10	0	21	0	RCCO	
7550	Highlight - New Leisure Centre	19,312	5	845	18,462	19,312	0	MIX	This is a multi-year scheme where the exact budget profile is still being developed.
7551	Waterfront Infrastructure Works	2,256	3	497	1,756	2,256	0	MIX	This is a multi-year scheme where the exact budget profile is still being developed.
7811	Summerhill Cycle Hub	174	0	174	0	174	0	MIX	
7831	Community Hub South - Internal Alterations	25	0	25	0	25	0	RCCO	
8016	Summerhill Multi User Route	5	0	5	0	5	0	GRANT	
8088	Community Hub - Central	41	0	41	0	41	0	RCCO	
8088	Central Hub Ground Floor Internal Alterations	55	11	44	0	55	0	RCCO	
8103	Swimming Scheme	35	0	35	0	35	0	RCCO	Amounts set aside for equipment purchase.
8108	Centre for Independent Living (CIL)	146	0	146	0	146	0	MIX	
8408	Mill House - Equipment Purchase	3	0	3	0	3	0	RCCO	Used to fund Equipment replacement when required.
8409	Sport & Youth Improvements	12	0	12	0	12	0	MIX	To be used as match funding in future grant bid for work required at Carlton
8570	Purchase Telecare Vehicle	20	20	0	0	20	0	RCCO	
8581	Briarfield Allotment Track Replacement	164	0	164	0	164	0	UDPB	
8583	Brierton Allotment Fence	7	0	7	0	7	0	UDPB	
8634	Brierton 3G Pitch - Football Foundation	6	0	6	0	6	0	CAP REC	
8689	Brierton Sports Fields	1	0	1	0	1	0	MIX	
8896	Brierton Tennis Courts	30	0	30	0	30	0	CAP REC	Awaiting finalisation of the Sports Facilities Strategy for Brierton.
8957	Stranton Allotments Clearance	157	126	31	0	157	0	RCCO	
Various	Allotments - Various Schemes	12	0	12	0	12	0	UDPB	
9101	Borough Hall Improvements	3,000	10	55	2,935	3,000	0	MIX	This is a multi-year scheme where the exact budget profile is still being developed.
7522	Stranton Cem Flood Alleviation	367	0	367	0	367	0	UDPB	
8828	Stranton Crematorium Refurbishment	490	0	490	0	490	0	MIX	
	Total Adult & Community Based Services	29,778	511	6,114	23,153	29,778	0		

### Key

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

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

CAPITAL MONITORING REPORT PERIOD ENDING 31st AUGUST 2021

Project Code	Scheme Title	BUDGET	EXPENDITUR					Type of Financing	2021/22 COMMENTS	
		A	B	C	C	D	E			
		2021/22 Budget £'000	2021/22 Actual as at 31/08/21 £'000	2021/22 Expenditure Remaining £'000	Expenditure Rephased into 2022/23 £'000	(B+C) 2021/22 Total Expenditure £'000	(D-A) 2021/22 Variance from Budget £'000			
Children's and Joint Commissioning Services										
	7149	New Children's Home	100	0	100	0	100	0	RCCO	
	7820	Exmoor Grove - Convert Bathroom to Bedroom	10	2	8	0	10	0	RCCO	
8072&8218	Children's Centres General	42	0	42	0	42	0	MIX		
	8710	Drug & Alcohol Recovery Centre	18	0	18	0	18	0	GRANT	
	8946	Stepping Stones Grant	11	1	10	0	11	0	GRANT	
	7384	Devolved Schools Capital	280	31	249	0	280	0	GRANT	
	7586	Purchase of Computer Equipment - CLC Standards Fund	37	0	37	0	37	0	RCCO	
	7335	Hart Primary School Fencing	37	4	33	0	37	0	GRANT	
	7355	CECA IT Infrastructure and Technology	45	0	45	0	45	0	GRANT	
	7142	Schools General - Fire Safety Modifications (Conditions)	53	0	53	0	53	0	GRANT	
	NEW	Kingsley - Fire Safety Modifications	320	0	320	0	320	0	GRANT	
	7142	Throston - Fire Safety Modifications	200	0	200	0	200	0	GRANT	
	7474	High Tunstall 3G Pitch	499	422	77	0	499	0	MIX	
	7477	High Tunstall Swimming Pool Refurbishment	3	0	3	0	3	0	UDPB	
	7478	High Tunstall Grass Pitch	15	0	15	0	15	0	UDPB	
	8906	Brierton Campus Windows	62	0	62	0	62	0	RCCO	
	7521	Two Year Old FNE Capacity Funding	23	0	23	0	23	0	GRANT	
	8788	Universal Free School Meals	8	0	8	0	8	0	GRANT	
	7512	Stranton Nurserv - School Nurseries Capital Fund	98	98	0	0	98	0	GRANT	
	7494	Greatham Primary School Electrical Rewire	12	9	3	0	12	0	GRANT	
	7493	Lynnfield Primary School Toilet Refurbishments	42	11	31	0	42	0	GRANT	
	7507	Springwell Special School Hydrotherapy Pool & WC/Shower Area	50	27	23	0	50	0	GRANT	
	7558	Clavering Primary School Roofing Works	30	0	30	0	30	0	GRANT	
	7573	Fens Primary School Electrical Rewire	70	8	62	0	70	0	GRANT	
	7555	Fens Primary School Roofing Works	30	0	30	0	30	0	GRANT	
	7556	Golden Flatts Primary School Roofing Works	30	0	30	0	30	0	GRANT	
	7557	Grange Primary School Roofing Works	26	0	26	0	26	0	GRANT	
	7596	Grange Primary School Lighting Renewal	35	3	32	0	35	0	GRANT	
	7568	Lynnfield Primary School Boundary Wall	10	0	10	0	10	0	GRANT	
	7569	Lynnfield Primary School DHW Boiler Renewal	10	0	10	0	10	0	GRANT	
	7570	Lynnfield Primary School Heating - Pipework, radiators, fan convectors, air systems	50	0	50	0	50	0	GRANT	
	7559	Rossmere Primary School Roofing Works	61	0	61	0	61	0	GRANT	
	7562	Rossmere Primary School Electrical Rewire	63	7	56	0	63	0	GRANT	
	7572	Springwell Special School Boiler Plant Renewal	85	0	85	0	85	0	GRANT	
	7571	St Helens Primary School Boiler Renewal	85	9	76	0	85	0	GRANT	
	7566	Throston Primary School Heating Renewal	40	0	40	0	40	0	GRANT	
	9128	Throston Primary School Access Road	17	0	17	0	17	0	GRANT	
	7564	High Tunstall Renew Pool Flooring	12	0	12	0	12	0	GRANT	
	9100	Springwell Special School Increase Capacity	600	3	597	0	600	0	GRANT	
	7355	CECA TVCA Grant Unallocated	31	0	31	0	31	0	GRANT	
	9125	High Tunstall MLD Provision	55	6	49	0	55	0	RCCO	
	NEW	Catcote Secondary Special School Alternative Provision 6th Form	200	0	200	0	200	0	GRANT	
	NEW	Catcote Secondary Special School Increase Capacity & Remodelling	2,750	0	2,750	0	2,750	0	GRANT	
	9004	Schools General - Conditions unallocated	108	0	108	0	108	0	GRANT	
	9004	Schools General - Contingency	70	0	70	0	70	0	GRANT	
	9004	Schools General - Suitability Unallocated (SEMH)	743	0	743	0	743	0	RCCO	
	9004	Schools General - Basic Need	916	0	916	0	916	0	GRANT	
		Total Children's and Joint Commissioning Services	8,092	641	7,451	0	8,092	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

## CORPORATE

## 7.1 APPENDIX H

## CAPITAL MONITORING REPORT PERIOD ENDING 31st AUGUST 2021

Project Code	Scheme Title	BUDGET	EXPENDITURE IN CURRENT YEAR						Type of Financing	2021/22 COMMENTS
		A	B	C	D	E	F			
		2021/22 Budget £'000	2021/22 Actual as at 31/08/21 £'000	2021/22 Expenditure Remaining £'000	Expenditure Rephased into 2022/23 £'000	(B+C+D) 2021/22 Total Expenditure £'000	(E-A) 2021/22 Variance from Budget £'000			
7035	Town Hall - Renew Boilers	24	10	14	0	24	0	MIX		
7036	CCF Unallocated	161	0	161	0	161	0	MIX		
7041	Corporate Planned Maintenance Unallocated	87	0	87	0	87	0	RCCO		
7065	Fire Risk Assessments	100	0	100	0	100	0	MIX		
7072	Seaton Library - DDA toilet	37	0	37	0	37	0	UDPB	Scheme on hold	
7075	Mill House - Replace Dosing Systm, Pool Pum	0	0	0	0	0	0	UDPB	Scheme complete. Final Account to be agreed.	
7200	Civic Centre Capital Maintenance Project	73	0	73	0	73	0	UDPB		
7233	Civic Centre - Replace Main Lifts	4	0	4	0	4	0	MIX		
7336	Borough Hall - Upgrade furniture, fixtures	8	0	8	0	8	0	MIX		
7410	Aneurin Bevan House - Lighting Upgrade	0	0	0	0	0	0	UDPB	Scheme complete. Final Account to be agreed.	
7415	Aneurin Bevan House - Replace Boiler Plant	19	2	17	0	19	0	CAP REC		
7417	Seaton Library - Fire Alarm Upgrade	3	0	3	0	3	0	CAP REC		
7473	Victory Square - Conservation Work	6	0	6	0	6	0	CAP REC		
7503	Carnegie - Boiler Replacement	2	0	2	0	2	0	RCCO		
7519	Grayfields Water Distribution	2	0	2	0	2	0	CAP REC		
7538	Bouough Hall Heating Distribution	65	45	20	0	65	0	RCCO		
7539	Throston Youth Project - Resurface Car Park	63	0	63	0	63	0	MIX		
7591	Mill House Feasibility	126	0	126	0	126	0	MIX		
7617	Borough Hall - Lighting & Wiring	40	0	40	0	40	0	RCCO		
7812	Masefield Centre - Air Source Heat Pump	24	0	24	0	24	0	GRANT	Decarbonisation Scheme	
7813	Masefield Centre - Car Park Colar Canopy	14	0	14	0	14	0	GRANT	Decarbonisation Scheme	
7815	Town Hall - LED Lighting	39	0	39	0	39	0	GRANT	Decarbonisation Scheme	
7816	Civic Centre - Car Park Solar Canopy	39	0	39	0	39	0	GRANT	Decarbonisation Scheme	
7817	Civic Centre - LED Scheme	166	7	159	0	166	0	GRANT	Decarbonisation Scheme	
7845	Owton Manor Community Centre - Flat Coverings and Insulation	74	42	32	0	74	0	MIX		
7866	Mill House-Roof Repair	1	1	0	0	1	0	RCCO	Scheme complete & underspend to be returned to CCF unallocated.	
7889	Borough Hall - Roof Repair	26	0	26	0	26	0	RCCO	Scheme complete & underspend to be returned to CCF unallocated.	
8061	CETL-Roof Replacement	9	0	9	0	9	0	UDPB		
8064	Exmoor Grove - Electrical Distribution Upgrad	9	2	7	0	9	0	MIX		
8867	Borough Hall - Structural Works External Wall	1	0	1	0	1	0	RCCO	Scheme complete & underspend to be returned to CCF unallocated.	
8970	Historic Quay Delapadation Work	97	0	97	0	97	0	RCCO		
9029	Tofts Farm - Security Upgrade	14	0	14	0	14	0	RCCO	Scheme complete. Final Account to be agreed.	
9034	Carlton - Construction of a Fire Escape	42	0	42	0	42	0	RCCO		
9035	Civic Centre Shunt/Primary pump	13	0	13	0	13	0	RCCO		
9036	Civic Centre Lifts Over speed	10	0	10	0	10	0	RCCO		
9094	Sir William Gray House - Bunker & Sub Station	7	0	7	0	7	0	RCCO		
9095	Middleton Grange Offices - Upgrade Lighting & Controls	47	32	15	0	47	0	RCCO		
9098	Civic Centre - Drainage Refurbishment	11	0	11	0	11	0	RCCO	Scheme complete & underspend to be returned to CPM unallocated.	
9129	CETL Brierton Sport Centre Rec	7	0	7	0	7	0			
Finance & Policy Committee Total		1,470	141	1,329	0	1,470	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

NEIGHBOURHOOD & REGULATORY SERVICES

7.1 APPENDIX I

CAPITAL MONITORING REPORT PERIOD ENDING 31st AUGUST 2021

Project Code	Scheme Title	BUDGET	EXPENDITURE IN CURRENT YEAR					Type of Financing	2021/22 COMMENTS
		A	B	C	C	D	E		
		2021/22 Budget £'000	2021/22 Actual as at 31/08/21 £'000	2021/22 Expenditure Remaining £'000	Expenditure Rephased into 2022/23 £'000	(B+C) 2021/22 Total Expenditure £'000	(D-A) 2021/22 Variance from Budget £'000		
Finance & Policy Committee									
8306	Schools - Kitchen Refurbishment	284	0	25	259	284	0	RCCO	Funds earmarked for replacement of equipment. Low expenditure due to the impact of the COVID pandemic.
	Finance & Policy Committee Sub Total	284	0	25	259	284	0		
Regeneration Committee									
S106	Developers Contribution Fund	1,033	0	1,033	0	1,033	0	GRANT	Further details are set out in Appendix K
S106 GI	Green Infrastructure Schemes	152	0	152	0	152	0	GRANT	S106 contributions allocated to specific schemes - details are set out in Appendix K
	Regeneration Committee Sub Total	1,185	0	1,185	0	1,185	0		
7246	NIP - Rossmere	11	0	11	0	11	0	GRANT	Retention and final account - any remaining funds will be returned to NIP Unallocated budget.
7344	NIP - Hindpool Close Play Area	36	0	36	0	36	0	GRANT	Thirteen funding rephased from 2020/21 - awaiting decision before can progress.
7347	NIP - CCTV in Parks	98	1	97	0	98	0	MIX	Costs for existing schemes to be finalised and expenditure for remaining funds to be confirmed. £34K of budget is earmarked to fund required CCTV support works, as per F&PC 10th February 2020 MTFS.
7436	NIP - Stranton Cemetery Car Park	50	0	0	50	50	0	UDPB	Mandate agreed by Capital Programme Board for a scheme for the wider site including parking - expect these funds to be included.
7437	NIP - Sinking Fund	50	0	20	30	50	0	UDPB	To be used as and when required
7439	NIP - Off Street Car Park Balmoral Road	1	0	1	0	1	0	GRANT	Thirteen funding - to include with Hindpool scheme if progresses.
7440	NIP - Central Park	59	0	0	59	59	0	GRANT	Scheme unlikely to commence until 2022.
7553	NIP - Seaton Bus Station Toilets	130	0	130	0	130	0	UDPB	Work expected to be completed winter 2021/22
8996	NIP - Improvements to Parks	75	0	75	0	75	0	MIX	Thirteen to confirm how they wish to proceed with King George park works.
8997	NIP - Unallocated	13	0	13	0	13	0	UDPB	Remaining balance on the Neighbourhood Investment Fund to be allocated to schemes following future approval by Members.
9033	NIP - Rocket House Car Park Planters	1	0	1	0	1	0	UDPB	Retention outstanding
7339	NIP - Seaton Park Tennis Courts	22	10	0	12	22	0	MIX	Final costs and retention outstanding. Rephased funds earmarked for future provision as per grant conditions.
7272	Wheelie Bin Purchase	90	42	48	0	90	0	UDPB	
7466	DSO Vehicle Purchase	4,586	270	3,316	1,000	4,586	0	UDPB	At this stage it expected that all of the outstanding 2020/21 vehicle purchases and most of the current years replacement programme will be delivered and can be met from the existing budget.
7878	Community Safety CCTV Upgrade	14	4	10	0	14	0	MIX	
7333	EDM Seaton Additional Car Parking	87	0	87	0	87	0	UDPB	Scheme was delayed due to COVID.
7900	EDM Hartlepool Marina - North Pier	80	0	80	0	80	0	GRANT	
7902	EDM Hartlepool Drainage Schemes	36	3	33	0	36	0	GRANT	
8444	EDM Town Wall Strengthening	21	0	21	0	21	0	GRANT	
8578	EDM Management Unit Study	28	0	28	0	28	0	GRANT	
8958	EDM Elwick By-Pass Growing Places	17,673	0	223	17,450	17,673	0	UDPB	Rephased budget owing to delay from outcome of planning application and scheme profile will span multiple years.
HIFP	Additional Highway Schemes HIFP	376	0	376	0	376	0	MIX	Consists of various Highways & Traffic schemes.
LTP	Local Transport Plan (LTP) Schemes	2,558	73	2,363	122	2,558	0	GRANT	Various Highways & Traffic schemes. Rephased budget relates to a collaborative scheme with another local authority that has been delayed.
TVCA	TVCA Cycleways and Footpath Upgrades	1,629	660	969	0	1,629	0	GRANT	Anticipate full spend at this stage.
7547	Energy for Waste set up costs	2,462	1,352	1,110	0	2,462	0	MIX	
	Neighbourhoods Committee Sub Total	30,186	2,415	9,048	18,723	30,186	0		
	Regeneration & Neighbourhoods Total	31,655	2,415	10,258	18,982	31,655	0		

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

## RESOURCES & DEVELOPMENT

## 7.1 APPENDIX J

### CAPITAL MONITORING REPORT PERIOD ENDING 31st AUGUST 2021

Project Code	Scheme Title	BUDGET	EXPENDITURE					Type of Financing	2021/22 COMMENTS
		A	B	C	C	D	E		
		2021/22 Budget £'000	2021/22 Actual as at 31/08/21 £'000	2021/22 Expenditure Remaining £'000	Expenditure Rephased into 2022/23 £'000	(B+C) 2021/22 Total Expenditure £'000	(D-A) 2021/22 Variance from Budget £'000		
Finance & Policy Committee									
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	
	Finance & Policy Committee Sub Total	130	0	130	0	130	0		
Regeneration Committee									
7066	Avondene Accommodation, Church Street	26	0	5	21	26	0	GRANT	Rephased earmarked for major repairs
7220	Private Sector Housing Grants	33	0	15	18	33	0	GRANT	New grants awarded and income recycled from owner occupier contributions.
7357	15 Church Street Renovation	1,056	0	1,056	0	1,056	0	MIX	
9130	Business Park Investment	760	0	500	260	760	0	MIX	The initial phase of the project, which is to complete a business engagement exercise and audit of the area to identify the need, demand, and priorities for investment is underway.
7536	SEMH Free School Access Road	500	3	497	0	500	0	UDPB	
	Regeneration Committee Sub Total	2,375	3	2,073	299	2,375	0		
	Resources & Development Total	2,505	3	2,203	299	2,505	0		

<b>Key</b>			
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



**SECTION 106 DEVELOPERS CONTRIBUTIONS as at 31st August, 2021**

7.1 Appendix K

	Affordable Housing Contributions ****	Cycleway	Bus Stop	Green Infrastructure	Maintenance	Play	Off Site Recreational **	Public Art	Security Monitoring	Sports	Ecological Mitigation *****	Traffic Calming	Education	Coastal	Restoration Security Bond ***	Other Service Areas Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Committed Balance Remaining (A+B-C) 1st April, 2021 *	0	40	0	187	35	126	60	5	0	145	71	15	614	8	100	1,406
<b>Amounts Received in Year 2020/21 (B)</b>																
JCM Plant - Wynyard plots	10															0
Hill Carter - England Coast Path National Trail				10												
<b>Total income</b>	<b>10</b>	<b>0</b>	<b>0</b>	<b>10</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>10</b>
<b>Sub Total - revised Balance</b>	<b>10</b>	<b>40</b>	<b>0</b>	<b>197</b>	<b>35</b>	<b>126</b>	<b>60</b>	<b>5</b>	<b>0</b>	<b>145</b>	<b>71</b>	<b>15</b>	<b>614</b>	<b>8</b>	<b>100</b>	<b>1,416</b>
<b>Actual Expenditure in as at 31st August 2021 (C)</b>																
Council Housing - includes committed schemes	10															
Ward Jackson Park						4										4
Seaton						2										2
Summerhill Cycle Hub scheme										34						34
<b>Sub Total Expenditure</b>	<b>10</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>6</b>	<b>60</b>	<b>5</b>	<b>0</b>	<b>111</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>40</b>
<b>Forecast Committed Balance Remaining (A+B-C) March, 2022 *</b>	<b>31st</b>	<b>0</b>	<b>40</b>	<b>0</b>	<b>197</b>	<b>35</b>	<b>120</b>	<b>60</b>	<b>5</b>	<b>0</b>	<b>111</b>	<b>71</b>	<b>15</b>	<b>614</b>	<b>8</b>	<b>1,376</b>

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

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

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

\*\*\*\* All affordable housing contributions are earmarked for additional HRA houses.

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

# FINANCE AND POLICY COMMITTEE

15 October 2021



**Report of:** Director of Adult and Community Based Services

**Subject:** UPDATE ON DEVELOPING SUSTAINABLE SOLUTIONS TO FOOD POVERTY

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## 1. TYPE OF DECISION / APPLICABLE CATEGORY

1.1 No decision required; for information.

## 2. PURPOSE OF REPORT

2.1 To update the Finance and Policy Committee regarding work that has been undertaken with 'The Bread and Butter Thing' to develop a sustainable solution to food poverty, linked to the developing role of Community Hubs.

## 3. BACKGROUND

3.1 The level of poverty in Hartlepool and the impacts of poverty on health and wellbeing and the wider determinants of health are clearly set out in the Joint Strategic Needs Assessment, and tackling Child and Family Poverty has been a priority for the Council for a number of years.

3.2 Established services that tackle food poverty within Hartlepool were maintained throughout the COVID19 response, and the Council worked in partnership with the Food Network, Hartlepool Foodbank and other voluntary and community sector organisations to provide a crisis response to those in urgent need of food.

3.3 The COVID19 response identified issues relating to longer term food poverty, particularly among the working poor and the over 65s, which need a sustainable solution that does not create a dependency. People reported that they do not want to accept what they perceive to be charity, such as food parcels via a food bank, but acknowledge that they are struggling to buy sufficient, high quality nutritious food due to having a limited income.

- 3.4 The expected legacy of individual hardship as a result of the pandemic, with anticipated unemployment more than doubling and increased claims for welfare payments through Universal Credit, suggests that this need will remain and will grow. Whilst the Food Bank provides an excellent service, for some people there is a stigma associated with food bank parcels and it can lead to dependency.
- 3.5 It was therefore proposed that a sustainable solution be developed and delivered through the Council's Community Hubs, enabling people accessing the service to benefit from the wide range of other services delivered in the Hubs, including Adult Education, welfare benefits advice, health and wellbeing services, Community Connectors, the library offer, internet access via The People's Network and Community Kitchens. This approach increases opportunities for people to develop their skills and employability where appropriate as well as providing people with opportunities to socialise, volunteer and get more involved in their local communities.
- 3.6 Following agreement by Finance and Policy Committee in August 2020, a procurement exercise was completed based on a subscription model that was utilised successfully in other areas of the country and the contract was awarded to 'The Bread and Butter Thing'

#### **4. 'THE BREAD AND BUTTER THING' MODEL**

- 4.1 The model is based on making life more affordable for those on low incomes by addressing the premium that people in poverty pay for food, loans, energy and other everyday essentials because of their personal circumstances. A community-led membership model is used to provide access to low cost, nutritious food whereby families and individuals with very little disposable income are offered the provision of a deeply discounted food service to help their income go further. Members receive a week's worth of fresh food and other essentials in return for a nominal membership fee, with everyday items sourced from surplus and distributed through community hubs within local communities. The model developed in Manchester typically provides three bags of food (chilled produce, fruit and vegetables and store cupboard items) with a normal retail value of at least £30 for £7. This model supports approximately 1,000 low income members per month across Manchester and feedback from members is incredibly positive.
- 4.2 The key to the success of the model is the delivery of the service through Community Hubs. In Manchester, over 85% of members report that they feel more part of the community and over 95% of members believe that the model is good for the community.
- 4.3 The model developed in Manchester, was adopted in Darlington and was found to help reduce dependency. Data shows that people struggle to get enough good, healthy food and many run out of food before the end of the week and therefore skip meals. Research by the University of Sheffield into found that:

- Members' diets were changing to include more healthy and sustainable foods.
- The relationship members had with food improved with many people reporting that they enjoy food more.
- People were connecting with their neighbours and feeling less lonely

4.4 The projected outcomes for the first year of operating this model in Hartlepool were as follows:

- 400+ food deliveries a week, working 5 days.
- This would represent 4,800kg of food or 11,000 meals a week.
- Typically a van would go to one hub a day.
- Packing at hubs would generate volunteering opportunities for the community.
- Once a membership base is established, links would be developed with other services including West View Advice and Resource Centre for debt advice, Hartlepower and the Credit Union.
- Collecting the food could be linked to cooking opportunities and the community cafes, and other health and wellbeing opportunities.

## 5. **PROGRESS UPDATE**

- 5.1 Due to COVID there were some initial delays in starting to operate the service however operations started from 18 January 2021, initially utilising space outside buildings.
- 5.2 The service commenced at Community Hub Central and has now expanded to 5 locations over 5 days per week, this includes Community Hub Central, Community Hub South, Burbank House, St Hilda's Church and West View Advice and Resource Centre. Each location receives a food delivery every week and each session is supported by volunteers. Between 50 and 85 people access each session supporting with a total of 250-300 people supported each week.
- 5.3 Feedback from members has been overwhelmingly positive and people are impressed with what they are getting for the contribution they are making. People are also positive that this is supporting a reduction in food waste. The TBBT confirm:  
 "All hubs are working really well, with engaged volunteer teams from each local community – they genuinely help bring the hubs to life and ensure that each hub has its own unique character"

A gentleman using the service reported:

"This has really made a difference to my family today, I have lost my job and money is really tight"

- 5.4 Now that restrictions have eased, sessions are operating inside buildings and a range of services are being offered providing access to members on the days they attend TBBT. In Central Hub, stories and rhymes are being delivered in the children's area, Citizen's Advice Bureau are providing advice and support, Blue Dice are offering technology access drop in sessions and the Community Support Team provide advice and information for people. Community Navigators and Occupational Therapists also actively engage with people waiting for their food and will provide advice and guidance as required. Further locations are being explored to continue to expand the offer.
- 5.5 A review is being undertaken on operating times as experience from TBBT has shown that when the clocks change and dark nights set in this can be a barrier for some people especially older residents.
- 5.6 Healthy Start Vouchers are now being accepted by TBBT and they also provide application forms to people they think will be eligible to make it easier for them to sign up.
- 5.7 Female sanitary products are now available from the Community Hubs for £1 to add to TBBT offer. This is not exclusive to people who are members of TBBT but to anyone who requires this support.
- 5.8 Roll out of 'Big Shop' will be progressing in the next phase of development allowing members of TBBT to pay for an additional bag of cupboard or frozen food to the three bags of food that is included as part of the standard membership

## **6. RISK IMPLICATIONS**

- 6.1 There was a risk identified when proposing this model that there would be insufficient interest to make it sustainable after the initial investment, but current data indicates that this will not be the case.

## **7. FINANCIAL CONSIDERATIONS**

- 7.1 The cost of implementing this model is £125k for the first year. After 12 months the model is entirely self-sustaining with no further investment required from the Council. The ongoing commitment from the Council is to enable the service to be delivered from the Community Hub sites and to facilitate close working with other partners.
- 7.2 The one off costs of establishing 'The Bread and Butter Thing' model were met from a national grant to councils to assist households struggling to afford food and other essentials.

## **8. LEGAL CONSIDERATIONS**

- 8.1 In accordance with the Council's Contract Procedure Rules, a procurement exercise was undertaken to secure a provider for the service.

## **9. CONSULTATION**

- 9.1 Consultation with organisations currently involved with the Food Network was undertaken prior to the procurement exercise to explain the Council's commitment to develop a model that is sustainable to meet longer term food poverty needs.
- 9.2 The Council has worked with TBBT to facilitate joint working with other organisations, within the limitations of COVID, and will continue to support a partnership approach.

## **10. CHILD AND FAMILY POVERTY**

- 10.1 The TBBT aims to deliver sustainable access to affordable food and have a positive impact on child and family poverty. The data from the Manchester model indicates that:
- 88% of people supported were of working age.
  - Half were in work and half were unemployed. Of those in work, only 25% had full-time jobs, the rest were part-time or had zero hour contracts.
  - 31% were on universal credit and 18% on some sort of disability benefit.
  - Nearly half report living with a physical or mental health condition.
  - On average each had 3 dependents.

## **11. EQUALITY AND DIVERSITY CONSIDERATIONS**

- 11.1 The service is available to all residents regardless of protected characteristics with reasonable adjustments made as needed to ensure access.

## **12. STAFF CONSIDERATIONS**

- 12.1 There are no staffing considerations associated with this report.

## **13. ASSET MANAGEMENT CONSIDERATIONS**

- 13.1 There are no asset management considerations associated with this report. The service is being delivered through existing Community Hub buildings.

## 14. RECOMMENDATION

- 14.1 It is recommended that the Finance and Policy Committee note the update regarding a sustainable solution for food poverty and the positive progress that has been made to date.

## 15. REASONS FOR RECOMMENDATION

- 15.1 The Finance and Policy Committee committed to developing a sustainable solution, as part of the COVID19 recovery phase, for people experiencing long term food poverty and requested a progress update.

## 16. CONTACT OFFICER

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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

15 October 2021



**Report of:** Director of Adult and Community Based Services

**Subject:** COMMUNITY POT UPDATE

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## 1. TYPE OF DECISION / APPLICABLE CATEGORY

No decision required; for information.

## 2. PURPOSE OF REPORT

- 2.1 To update the Finance and Policy Committee regarding the use of the Community Pot.

## 3. BACKGROUND

- 3.1 A report to Finance and Policy Committee on 29 June 2020 regarding 'A Sustainable Solution to Food Poverty' identified that COVID19 had highlighted, and in some cases exacerbated, a range of issues associated with hardship which went beyond food poverty. Examples of areas where poverty was being experienced included fuel, clothing and digital inclusion.
- 3.2 The Finance and Policy Committee subsequently made a decision on 13 August 2020 to create a Community Pot to support the COVID19 recovery. The Community Pot was created utilising the balance of New Burdens funding, an element of the Family Poverty Reserve, an underspend on ward Member budgets and the uncommitted balance of the Local Authority Emergency Assistance Grant for food and essential supplies giving a total of £225k.
- 3.3 The Finance and Policy Committee decision identified that £25k of the £225k would be used to support a programme of activities for young people, with the remaining £200k to be used to support community-led initiatives aimed at tackling the social and economic impact of COVID19.
- 3.4 The criteria for accessing funding from the Community Pot and the process for applications were then agreed by Finance and Policy Committee on 30 November 2020.



Applications were required to meet the following criteria:

- Evidence of need based on community engagement.
- Delivery of interventions that will address hardship arising from COVID19 that is impacting on communities in Hartlepool.
- Provides 'additionality' rather than duplicating similar projects or replacing core funding for an ongoing scheme.
- Clear impact and outcomes.
- Delivery through a collaborative approach across the VCS.
- Clear exit strategy demonstrating the longer term impact of one off resources.

VCS organisations were invited to apply for funding of £20k to £200k and applications were then considered by a panel comprised of the Council's Director of Adult and Community Based Services, Director of Children and Joint Commissioning Services and Director of Public Health along with a representative from Hartlepool representing the VCS.

- 3.5 Allocations from the Community Pot were agreed on 15 February 2021 as summarised below:

Proposal	Funding from Community Pot
Financial Advice and Support (including benefit appeals)	£34,500
Hartlepool Financial Inclusion Partnership	£36,500
Get Connected – digital inclusion project	£40,900
Community Led Inclusion Partnership	£48,800
Supported Housing and Counselling for Homeless and Vulnerable	£15,000
Accessible IT equipment and training	£24,300

## 4. PROGRESS UPDATE

- 4.1 Applicants were informed of the outcome of the process in March 2021 and projects commenced from April 2021. There were delays in the commencement of some projects because of recruitment difficulties but most of these issues have now been resolved and all but one project have commenced.

- 4.2 A brief summary of each project and outcomes achieved to date is provided below:

### 4.2.1 Financial Advice and Support

- Advice worker recruited and in post.
- Ongoing promotion of service with partner agencies and to wider public.
- Service has won 22 appeals and lost 3.
- Currently working on supporting 32 appeals.

- Financial gains for individuals from appeals won to date is £7,960.
- Feedback from people accessing the service is positive.

#### 4.2.2 Hartlepool Financial Inclusion Partnership (FIP)

- Coordinator recruited, commenced employment on 7 June 2021.
- Trained on referral system, updating database and introductions to partners.
- Reviewing and updating the FIP Action Plan.
- Making progress on identifying the resources and actions needed to set up a Credit Union and, in partnership with Moneywise, setting up a pilot Community Collection Point.

#### 4.2.3 Get Connected

- Service Level Agreement in place between partner organisations.
- Project worker and technical support worker recruited and in post.
- Blue Dice launched and offering drop in sessions at Community Hub Central.
- Awareness sessions at Deaf Centre started early in September.
- In discussions with Hartfields to identify and support digitally excluded older people.

#### 4.2.4 Community Led Inclusion Partnership

- A temporary coordinator is in post.
- Website designed and launched.
- Recruitment campaign for community and organisation memberships commenced.
- Working with the Deaf Centre to develop accessible information.
- Consulted on provision of Changing Places facilities providing results to HBC to inform a funding bid.

#### 4.2.5 Supported Housing and Counselling for Homeless and Vulnerable People

- Property identified on Park Road – refurbishment starting before the end of September with a view to being operational early October.
- Worked with 89 people in housing distress.
- Helped 105 people access food.
- Supported 147 people with issues around mental health and wellbeing.

#### 4.2.6 Accessible IT Equipment and Training

There have been some delays to the starting of this project because of staff sickness and the summer holiday activity scheme which put considerable pressure on the staffing resources of the three sites (Kilmarnock Road, West View Advice and Resource Centre and Belle Vue Community Centre). However, the equipment for the project has been identified, ordered and installed in the three centres. Work is ongoing to identify a training provider and it is anticipated that sessions will start to be delivered in each centre before the end of September 2021.

**5. RISK IMPLICATIONS**

- 5.1 There are risks associated with allocating one off funding in that it can build expectations and generate longer term demand. The Community Pot application process made clear that this was a one off resource to support sustainable solutions and applicants were required to provide evidence of an exit strategy.

**6. FINANCIAL CONSIDERATIONS**

- 6.1 The Community Pot was created as outlined in section 3.2 from one off funding sources. On this basis there are no ongoing financial considerations associated with the creation and distribution of the Community Pot. The Community Pot of £225k was fully committed based on the applications approved previously by the Finance and Policy Committee.

**7. LEGAL CONSIDERATIONS**

- 7.1 The allocation of funding from the Community Pot was completed in accordance with the Council's Contract Procedure Rules. Organisations that accepted funding from the Community Pot signed an agreement regarding the proper use of the funding and committed to provide information regarding the outcomes achieved.

**8. CONSULTATION**

- 8.1 The criteria and process for allocation of the Community Pot were discussed with representatives of the VCS. The Council's commitment to work with the VCS and support the sector to work collaboratively was welcomed.

**9. CHILD AND FAMILY POVERTY**

- 9.1 The aim of the Community Pot to tackle the social and economic impacts of COVID19 supports the Council's commitment to tackle child and family poverty.

**10. EQUALITY AND DIVERSITY CONSIDERATIONS**

- 10.1 Consideration of applications for the Community Pot took into account the needs of individuals and families experiencing hardship due to age, disability or other protected characteristics.

**11. STAFF CONSIDERATIONS**

- 11.1 There are no staffing considerations associated with this report.

**12. ASSET MANAGEMENT CONSIDERATIONS**

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

**13. RECOMMENDATION**

- 13.1 It is recommended that the Finance and Policy Committee note the update regarding use of the Community Pot and the positive outcomes that are being achieved for residents.

**14. REASONS FOR RECOMMENDATION**

- 14.1 The Finance and Policy Committee made a commitment to create the Community Pot and to approve the allocation of funding to support local communities through the COVID19 recovery. An update was requested by the Committee regarding use of the funding and outcomes achieved.

**15. CONTACT OFFICER**

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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

15<sup>th</sup> October 2021



**Report of:** Assistant Director, Corporate Services

**Subject:** CORPORATE COMPLAINTS MONITORING REPORT FOR 2020/21

## 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 2020/21 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 2020/21.

## 4. SUMMARY OF PROGRESS –CORPORATE COMPLAINTS 2020/21

### 4.1

Year	Number of complaints received	Number upheld or partially upheld	Percentage upheld or partially upheld
2020/21	7	3	42%
2019/20	25	9	36%

There has been a decrease in the number of complaints received in comparison with the previous year which may be due to the effects of COVID and the position will continue to be monitored.

- 4.2 **Tables 1 and 2 in Appendix 1** set out further information on the corporate complaints received during 2020/21.

## 5. **LOCAL GOVERNMENT AND SOCIAL CARE OMBUDSMAN (LGSCO) – ANNUAL REVIEW LETTER 2021**

- 5.1 The LGSCO Annual Review 2021 Letter sets out the annual statistics on complaints made to the LGSCO about Hartlepool Borough Council (HBC) for the year ending 31 March 2021. The data shows both the complaints and the enquiries that the LGSCO has recorded along with any decisions they have made.

- 5.2 In summary, during 2020/21 the LGSCO:

- Received 16 complaints or enquiries about HBC, which is a reduction of 7 on the previous year.
- The LGSCO made decisions on these complaints or enquiries during 2020/21 and the outcomes were:

<b>Decision</b>	<b>Decisions made 2020/21</b>	<b>Decisions made 2019/20</b>
Incomplete/Invalid	1	0
Advice given	0	2
Referred back for local resolution	7	3
Closed after initial enquiries	4	10
Detailed investigation	4	9
<b>Total</b>	<b>16</b>	<b>24</b>

*Please note the number of complaint enquires the LGSCO received during the year does not match the number of decisions made as not all complaints investigations were completed within the same year.*

- Of the 4 complaints subject to detailed investigation, 1 was not upheld and 3 were upheld by the LGSCO – further detail is provided in **Table 3 in Appendix 1**.
- The uphold rate of 75% of those investigated in 2020/21 is higher than last year but the numbers are very small with only 4 complaints undergoing a detailed investigation.
- There have been 12 complaints upheld or partly upheld in the last 5 years of a total number of 31 complaints received by the LGSCO. This represents an uphold rate of 39% of the total number received over a 5 year period. Further details are provided in **Appendix 1 Table 4 and Table 5**. In comparison the uphold rate across the North East Local Authorities for the last 5 years was 54% with individual authority uphold rates ranging from 39% to 67%.

Hartlepool's uphold rate of 39% over the last 5 years is the lowest in the North East with the next lowest at 47%.

- This confirms that the HBC Corporate Complaints procedure is robust and the LGSCO only find fault in a small number of cases, many of which reflect those that the Council has already found fault with through our own complaint investigation.

## **6. REVIEW OF CORPORATE COMPLAINTS, COMMENTS AND COMPLIMENTS AND UNREASONABLE CUSTOMER BEHAVIOUR POLICIES**

- 6.1 The Complaints, Comments and Compliments Policy was reviewed in July 2021 to take into account the recommendation from the Adults Quality Assessment Framework (QAF) and to ensure it was still fit for purpose. It was agreed that only minor changes were required including more information how the Council can support complainants, information on the accessibility of the Complaints Policy and how the Council will deal with joint and collective complainants. We have also reviewed and amended the information on how to complain about a contractor of a service as well as making a complaint on behalf of someone else or through the MP or an elected member. The updated Policy is now available on the Council website: ([https://www.hartlepool.gov.uk/info/20004/council\\_and\\_democracy/429/complaints\\_comments\\_and\\_compliments](https://www.hartlepool.gov.uk/info/20004/council_and_democracy/429/complaints_comments_and_compliments)).
- 6.2 In addition this year a complaints database within the Firmstep system has been developed which will support the ongoing monitoring of all corporate complaints. This database is accessible to all complaints leads across the council and allows residents to raise their complaints via the online portal.

## **7. OTHER CONSIDERATIONS**

### **7.1**

Financial Considerations	No relevant issues
Legal Considerations	No relevant issues
Consultation	No relevant issues
Child and Family Poverty	No relevant issues
Equality and Diversity considerations	No relevant issues
Staff Considerations	No relevant issues
Asset Management Considerations	No relevant issues

## **8. CONCLUSION**

- 8.1 The number of complaints received by both HBC and the LGSCO has reduced during the COVID Pandemic. We will closely monitor this situation to ensure that all complaints are dealt with in the most efficient and effective manner.

## 9. RECOMMENDATIONS

9.1 Finance and Policy Committee are recommended to:

- Note the update on complaints received during 2020/21.

## 10. REASONS FOR RECOMMENDATIONS

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

## 11. BACKGROUND PAPERS

11.1 None.

## 12. CONTACT OFFICER

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Sign Off:-

Managing Director

☒

Director of Resources and Development

☒

Chief Solicitor

☒



**Appendix 1 - Complaints Summary: April 2020 to March 2021****Table 1 - Corporate Complaints in 2020/21**

2020/21	Q1	Q2	Q3	Q4	Total Number of Corporate Complaints Received	Number of Corporate Complaints Upheld / Partly Upheld
<b>Total Number of Corporate Complaints</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>1</b>	<b>7</b>	<b>3</b>
Total number of <b>Resources and Development</b> Corporate Complaints	1	0	0	0	1	0
Total Number of <b>Neighbourhoods and Regulatory Services</b> Corporate Complaints	0	1	1	0	2	1
Total Number of <b>Children's and Joint Commissioning</b> Corporate Complaints	0	1	1	1	3	1
Total Number of <b>Adults and Community Based Services</b> Corporate Complaints	1	0	0	0	1	1

**Table 2 - Details of Corporate Complaints Upheld / Partly Upheld in 2020/21**

<b>Dept.</b>	<b>Complaint Description</b>	<b>Outcome of complaint</b>	<b>Current position</b>
C&JCS	Alleged failure to complete Education, Health and Care Plan (EHCP) review within statutory framework.	<p>Upheld - Review of EHCP processes resulted in:-</p> <ul style="list-style-type: none"> <li>• Recruiting additional SEN officers with one worker initially focusing on reviews.</li> <li>• Recruiting an admin worker.</li> <li>• Training has been undertaken with all staff and a multi-agency audit process has been established.</li> </ul>	All actions completed
A&CBS	Failure to properly consider a service request, failure to follow a defined process in considering the request and lack of compassion.	Partly upheld as we failed to consider complainants request and there was no defined process. Apology provided, continued customer service training and review how information is shared with others.	First action completed (apology) with second action still to be actioned.
RND	Council not taking action in regards to vehicles being illegally parked.	Partly upheld in that the Council did not respond to a letter as we indicated we would. However we are satisfied that the Council acted appropriately in relation to the parking issue, taking appropriate action, discussing the matters with the complainant and advising him as appropriate.	Case closed however complainant has gone to the LGSCO.

**Table 3 – LGSCO Complaints 2020/21 – Detailed Investigation**

Dept. and reference	Description of complaint	Outcome / Current position	Date completed
<b>Upheld after detailed investigation</b>			
NRS 18 015 426	Complainant has reported anti-social behaviour incidents but believes the Council has not taken action.	No fault in the Council's decision not to take further action but there were faults in communication. Complainant has now been given the relevant information and the Council is working on promoting the Community Trigger process wider.	30/3/21
ACBS 19 002 595	Complaint about how a care provider commissioned by the Council dealt with matters relating to her son.	No fault was found on the complaint matters but some fault was found in relation to the investigation of her complaint. Remedy £150 and a formal apology given.	14/07/20
ACBS 19 018 353	Adult Care Service charging complaint.	The Council was at fault for providing inconsistent information and not providing information until after the initial assessment period. The Council apologised and waived some of the costs as recommended by the LGSCO.	18/12/20

Dept. and reference	Description of complaint	Outcome / Current position	Date completed
<b>Ongoing detailed investigation cases (5 complaints)</b>			
ACBS 20 010 526	Reduction in care package.	Investigator has been allocated and they have requested information from the service in order to complete their detailed investigation. This information was due back to the LGSCO at the end of August 2021.	Ongoing
ACBS 20 011 910	Commissioned service provider failed / did not deliver care package properly.	Investigator has been allocated and they have requested information from the service in order to complete their detailed investigation. This information was due back to the LGSCO at the end of August 2021.	Ongoing
NRS 20 010 673	Issues around alley gates and knotweed	Currently waiting investigator to be allocated.	Ongoing
ACBS 21 004 008	Termination of allotment tenancy	Awaiting further consideration from the investigation team at the LGSCO	Ongoing
CJCS 21 004 273	Possible disclosure of information/data breach	Assessment ongoing by LGSCO investigation team	Ongoing

**Table 4: 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
2020/21	4	1	2	2	0	1	1	4	1	16
2019/20	4	2	3	8	2	2	0	2	0	23
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

**Table 5: Decisions Made - Hartlepool**

	Incomplete or Invalid	Advice Given	Referred back for Local Resolution	Closed after Initial Enquiries	Detailed Investigations			Total
					Not Upheld	Upheld	Uphold Rate	
2020/21	1	0	7	4	1	3	75%	16
2019/20	0	2	3	10	6	3	33%	24
2018/19	0	1	6	11	4	1	20%	23
2017/18	2	0	7	8	3	3	50%	23
2016/17	1	0	8	7	5	2	29%	23