

FINANCE AND POLICY COMMITTEE

AGENDA



Monday 12 December 2022

at 10.00 am

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

MEMBERS: FINANCE AND POLICY COMMITTEE

Councillors Boddy, Brash, Buchan, Cassidy, Harrison, Lindridge, Little, Martin-Wells, Moore, Morley 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 21 November 2022 (To Follow).

4. BUDGET AND POLICY FRAMEWORK ITEMS

- 4.1 Medium Term Financial Strategy (MTFS) 2023/24 to 2025/26 – *Director of Resources and Development* (To Follow)

5. KEY DECISIONS

No items.

6. OTHER ITEMS REQUIRING DECISION

- 6.1 Council Tax Base 2023/24 – *Director of Resources and Development*
- 6.2 Seaton Carew War Memorial – *Director of Neighbourhoods and Regulatory Services*

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.

7. ITEMS FOR INFORMATION

- 7.1 Strategic Financial Management Report as 30 September 2022 – *Director of Resources and Development*
- 7.2 Housing Advice and Homelessness Update – *Director of Children's and Joint Commissioning Services*
- 7.3 Asylum Seekers and Refugees – *Director of Children's and Joint Commissioning Services*
- 7.4 Corporate Complaints Monitoring Report for 2021/22 - *Monitoring Officer*
- 7.5 Council Plan 2021-2024 Progress Update – *Managing Director*

8. ANY OTHER BUSINESS WHICH THE CHAIR CONSIDERS URGENT

For Information:

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

Monday 23 January, 2023 at 10.00 am
Monday 13 February, 2023 at 10.00 am
Monday 13 March, 2023 at 10.00 am



FINANCE AND POLICY COMMITTEE

MINUTES AND DECISION RECORD

21 NOVEMBER 2022

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

Present:

Councillor Shane Moore (In the Chair)

Councillors: Moss Boddy, Jonathan Brash, Bob Buchan, Tom Cassidy, Brenda Harrison, Jim Lindridge, Sue Little, Andrew Martin-Wells, and Melanie Morley.

Also Present: Councillors Ben Clayton and Angela Falconer.
Edwin Jeffries, Hartlepool Joint Trades Union Committee.

Officers: Denise McGuckin, Managing Director
Hayley Martin, Chief Solicitor
Chris Little, Director of Resources and Development
James Magog, Assistant Director, Finance
Beverley Bearne, Assistant Director, Development and Growth
Sally Robinson, Director of Children's and Joint Commissioning Services
Danielle Swainston, Assistant Director, Joint Commissioning
Jill Harrison, Director of Adult and Community Based Services
Kieran Bostock, Assistant Director, Place Management
Sylvia Pinkney, Assistant Director, Regulatory Services
Steve Hilton, Communications and Marketing Team
David Cosgrove, Democratic Services Team

51. Apologies for Absence

Councillor Mike Young.

52. Declarations of Interest

Councillor Shane Moore declared a personal interest in Minute no. 60.

53. Minutes of the meeting held on 28 September 2022

Received.

54. Minutes of the meeting held on 10 October 2022

Received.

55. Minutes of the meeting of the Safer Hartlepool Partnership held on 18 July 2022

Received.

A Member referred to the recent consideration of Safety for Women at the meeting of the Safer Hartlepool Partnership (minute 5 refers). It was understood that Cleveland Police now had a dedicated officer for Women's Safety and it was suggested that officer be invited to the Members' Seminar on this matter. The Chair supported the suggestion.

56. Medium Term Financial Strategy (MTFS) 2023/24 to 2025/26 *(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 financial environment the Council is operating in and to approve the initial savings proposals to be referred to individual Policy Committees.

Issue(s) for consideration

The Director of Resources and Development submitted a detailed report setting out the latest position for the Council budget for the next two financial years and the current wider economic situation and how that was having a further significant detrimental impact on the Council's financial position. The Director gave a presentation to the Committee outlining the main issues for Members to consider.

The presentation highlighted the following key points: -

- In November 2021 the Office for Budget Responsibility (OBR) forecast inflation at 4.4% for 2022/23 and the Bank of England (BoE) interest rate was 0.1% rising only to 0.25% in December. This month the inflation figure stood at 11.1% (the highest for over 40 years) and interest rates had climbed to 3% (the highest for over a decade).
- Local Authority staff had agreed a national pay award significantly higher than forecast or budgeted for. The national minimum wage increase was also above what had been budgeted for.
- Inflation was driving up costs across all services and contracts.

- The Chancellor's Autumn statement included spending cuts of £30.1 billion and tax rises of £24.8 billion for the country. There was to be a further £2.3 billion invested nationally into schools and £8 billion into the NHS and Social Care. The investment into Social Care was still to be clarified but did include a further Council Tax 'flexibility' lifting the referendum limit to 5%, 3% for CT and 2% for the Adult Social Care precept.
- The Council now faced a two-year deficit of £9.750m, the majority £8.076 falling in 2023/24 – the total was 9% of the overall budget, yet many areas of spending were statutory and, therefore, could not be reduced.
- It was recommended that the savings of £9.750m be phased, h £4.076m being identified in 2023/24; £4.674m identified by May 2023 for 2024/25 together with further savings of £1m to address the remaining deficit deferred from 2024/25.
- The Director of Resources and Development's Robustness Advice would be delayed until a robust and deliverable savings plan had been identified.
- The report included a review of the Council's Reserves and the uncommitted Budget Support Fund of £6.542m. This also included proposals to increase the Budget Support Fund.
- The impact of the initial saving proposals for 2023/24 would as below and as set out in detail within the report: -

2022/23 Budget	£'m
Deficit without phasing	8.076
Less – Use of reserves (£3m), Investment Income (£1m), Temp. loan repayments saving (£0.260m)	(4.260)
Less – Proposed savings	(3.347)
Deficit still to be addressed	0.469

The Director indicated that there was one issue for the Committee to decide at this meeting and this related to the proposed development of toilet facilities at Seaton Carew. Funding of £200,000 had been identified to make improvements to the existing facility (£130,000 from Neighbourhood Investment Programme and £70,000 from Changing Places Fund), however any works will have a minimal positive affect on the overall aesthetics of the facility.

It was proposed, therefore, that a new facility is built improving Public Convenience provision at Seaton Carew closer to the main car park for visitors to use on arrival and when leaving. The cost of a proposed new building were anticipated to be approximately £435,000 and the inclusion of a Changing Places Facility would unlock additional Changing Places Funding of £25,000, and it is proposed that prudential borrowing is used to fund the remaining £210,000. It is estimated that a 20p charge per use would generate £8,000 of fee income, which together with reduced water usage would fund the £15,000 annual borrowing charge.

Alongside the toilets scheme, the Council had been approached by the operator of the Beach Huts who wished to sell the huts, or if this was not possible to relocate them outside of Hartlepool. Retention of the Beach Huts would complement the development of improved toilet facility and wider offer at Seaton Carew. The income stream from the Beach Huts was dependent on the weather and as this income could not be guaranteed it was recommended the additional borrowing costs could be funded by having a 30p charge for the toilet facilities.

A Seaton Carew Ward Member supported the proposals in relation to the toilets at Seaton Carew and commented that, in her opinion, the Beach Huts were currently in the wrong location and should be moved.

A Member referred to the announcement in the Autumn Statement in relation to school funding and asked if there had been any funding for the 16-19 sector. The Director indicated that as far as he was aware, the announcement related to schools only. The Member suggested that the Council write to the Secretary of State expressing our support for the 16-19 Education Sector and their need also for additional funding. This was supported by Members.

Members referenced the cuts in funding over the past decade and the Government's announcement that the referendum limit had been increased from 3% to 5% for Council Tax rises. The Director acknowledged that Council Tax was a difficult tax to raise but his advice would continue to be to raise Council Tax by the limit each year. Government had made it very clear that Council Tax flexibility is included in the funding figures for to local government.

In response to questions about senior officer pay and members allowances the Managing Director agreed to provide information at the next meeting.

The Chair proposed that, at this time, the budget savings proposals are not referred to the individual Policy Committees, to allow for the full impact of the Chancellor's Autumn Statement to be assessed by officers and a further report being submitted to the next meeting. The proposal was seconded.

Members indicated that they wished to ask questions on the appendices to the report which were marked as exempt.

Decision

That the meeting move into closed session

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

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

Minute 58 – Medium Term Financial Strategy (MTFS) 2023/24 to 2025/26 – This item contains exempt information under Schedule 12A Local Government Act 1972 as amended by the Local Government (Access to Information) (Variation) Order 2006 namely (para??) Paragraph 1 Information relating to any individual and Paragraph 2 Information which is likely to reveal the identity of an individual.

58. Medium Term Financial Strategy (MTFS) 2023/24 to 2025/26 *(Director of Resources and Development)*

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 (paras 1 and 2)

Type of decision

Budget and Policy Framework

Purpose of report

The purpose of the report was to provide an update on the financial environment the Council is operating in and to approve the initial savings proposals to be referred to individual Policy Committees.

Issue(s) for consideration

Members discussed some of the savings identified in the appendices to the report. A Member questioned the need for the appendices to be considered confidential. The Managing Director stated that making the appendices confidential had been considered at length by CMT and the decision was taken to make the appendices 'not for publication' as at the time of preparation a political steer would be required for some of the potential savings and there were also staff that could be impacted directly by others.

Members' further discussions are set out in the Exempt section of the minutes.

Decision

The meeting returned to open session

59. Medium Term Financial Strategy (MTFS) 2023/24 to 2025/26 *(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 financial environment the Council is operating in and to approve the initial savings proposals to be referred to individual Policy Committees.

Issue(s) for consideration

The Chair moved that recommendations 2, 3 and 4 set out in the report be deferred to the next meeting of the Committee to be held on 12 December 2022. The Chair also moved that recommendations 5 and 6 in the report, relating to the Seaton Carew toilets and beach huts, be approved and that an additional recommendation be added to include the sending of a letter to the Secretary of State for Education seeking additional support for the 16 to 19 education sector alongside the Government's announcement in relation to schools in the Autumn Statement.

The Chair's proposals were agreed without dissent.

Decision

1. That the report be noted.
2. That recommendations 2, 3 and 4 in the report relating to the consideration of the savings proposals by individual policy committees be deferred to allow a further report to be submitted to the next meeting of the Committee on 12 December 2022.
3. That the Public Conveniences capital scheme, including provision to purchase the Beach Huts, be approved, together with the implementation of a 30p charge to meet part of the Prudential Borrowing repayment costs and that Council approval be sought for the Prudential Borrowing for £0.290m.
4. That authority be delegated to the Managing Director, in consultation with the Chair of Finance and Policy Committee, Director of Resources and Development and Chief Solicitor to negotiate the purchase of the Beach Huts with the business case detailed in the report and as above.

5. That a letter be forwarded to the Secretary of State for Education requesting a similar level of support for the 16-19 education as that announced for Schools in the Autumn Statement.

60. HRA Business Plan Update *(Director of Resources and Development)*

Type of decision

Budget and Policy Framework

Purpose of report

The purpose of the report was to enable Members to determine the 2023/24 rent level to be recommended to Council.

Issue(s) for consideration

The Director of Resources and Development reported that the Government had in late August issued a consultation on a proposed rent cap for social housing rent increases, with options at 3%, 5% and 7% being considered. The government indicated a preferred option was 5%. In our response to the consultation we proposed the Government limit the increase to 3% to mitigate the impact on tenants and provide a recurring grant of 2% to mitigate the impact on HRAs. The consultation closed on the 12th October and the government announced as part of the Autumn Statement that the rent cap would be 7%.

The Director indicated that the report was prepared on the basis of a 5% rent rise and it was this level of increase that was still proposed. The report set out the financial implications on the HRA of this and the impact of interest rate rises and inflation. The Director stated that at this time the HRA capital programme had a good funding mix though there was the potential that further interest rate rises could require an increased use of S.106 monies to fund the existing programme of acquisitions. Anything beyond the current programme would, however, be very challenging to fund.

The Chair supported the proposed 5% increase in rents and while this was asking more of the Council's tenants, it would ensure the HRA would remain sufficiently funded and not fall into deficit. The Director commented that while asking for a rent increase was not easy, it had to be acknowledged that there had been two recent years where there had been no increase in Council rents unlike other social housing providers.

Some Members considered that asking for a rent increase at this time was unnecessary as the HRA was allowed to operate for a short time in deficit. A Member noted that there had been two properties sold on 'right to buy' and what effect would this have on the HRA. The Director commented that the HRA cannot operate with a planned deficit and in relation to RTB sales

the issue was being pursued with Homes England to determine if the grant funding had to be returned or if the Council was allowed to recycle the grant to replace the sold properties with similar houses. The outcome would be reported to Members at such time as Homes England made a decision.

Decision 3 set out below, was agreed on a majority vote.

Decision

1. That the report and the adverse impact inflation is having on the HRA and the adverse impact of higher interest rates on borrowing costs be noted;
2. That in the response to the Government's rent consultation we proposed the Government should limit the increase to 3% to mitigate the impact on tenants and provide a recurring grant of 2% to mitigate the impact on HRAs be noted.
3. That the recommended 5% rent increase for 2023/24 be approved and that this proposal be referred to Council; reflecting the robustness advice detailed in the report.
4. That the impact of interest rate increases on the capital programme and approve the increased use of Section 106 contributions as detailed in the report, which fully commits the available £2.176m be noted.

61. Hartlepool Mayoral Development Corporation (Managing Director)

Type of decision

Key Decision (test (ii) applies) – General Exemption Notice Applies.

Purpose of report

The purpose of the report was to give members of the Finance and Policy Committee an update on the proposed Mayoral Development Corporation (MDC) for Hartlepool and provide an overview of the governance process and next steps.

Issue(s) for consideration

The Managing Director reported that in May 2022 the Tees Valley Mayor announced an ambition to establish a MDC in Hartlepool that would cover parts of the Town centre, Queens Meadow and Oakesway Industrial Estates. The Tees Valley Combined Authority (Functions) Order 2017 ("Functions Order 2017") prescribes the steps to be taken to establish a MDC. In terms of governance, the MDC would be led by a board appointed by the Tees Valley Mayor. The board may be made up of local leaders from

the public and private sectors to ensure that local views are central to decision making.

At the meeting of the TVCA Cabinet meeting on 22nd July 2022 consideration was given to a refreshed Tees Valley Investment Plan. The Investment Plan included, amongst other investment proposals, plans to establish two new Mayoral Development Corporations, one in Hartlepool, and one Middlesbrough subject to the outcome of the statutory consultation process.

Included within the Investment plan was a reference to £20m to support the new MDCs, i.e. £10m each MDC. Masterplans were to be developed, with a focus on developing and then accelerating new key projects and leveraging private sector investment. It was also proposed that both new MDCs would have planning powers and any additional costs arising from this, and any other appropriate resources requirements, would be met from the Investment plan allocation.

During the meeting on 22nd July 2022 the MDC proposal was discussed and the minutes recorded there was support at cabinet level for “the designation of a new MDC in Hartlepool, subject to the outcome of the consultation process”. Following the meeting, consultation responses were submitted to TVCA, including from HBC, which broadly supported the MDC subject to specific certain assurances being provided. A copy of the constitution with the HBC proposed amendments was submitted as an appendix to the report.

On 4th August 2022 the consultation closed. TVCA considered the consultation responses, accepting some points and rejecting others. The area to be designated the MDC was amended and was shown on an appendix to the report. On 24 October 2022, the Tees Valley Mayor wrote to the Secretary of State for Levelling Up, Housing and Communities (SoS) to formally designate the ‘Hartlepool Development Corporation.’

The Managing Director highlighted that it was expected that the necessary specific legislation will be laid before Parliament to establish the Development Corporation areas by the end of the year.

The Chair highlighted that as set put in the report, there were a third of the Board Members who were elected representatives. There had been a recent Members’ Seminar on the MDC proposal which had outlined the purpose of the development corporation and how it would work. The Chair considered that the MDC gave Hartlepool an important new investment opportunity aimed at bringing new employment opportunities to the town.

At the meeting a series of proposed conditions to be included in the MDC Constitution were circulated by Labour Group Members seeking further protection of public assets, additional democratically elected representation on the Board and increased oversight on the allocation of funding. The

proposal also included a suggested ‘sunset clause’ to wind up the MDC after a set period of time.

There was concern expressed at the town’s previous experience with a development corporation that had led to significant areas of land being transferred to the private sector at the end of the corporation’s lifespan. There was also concern expressed at the transfer of planning powers that were include in the proposal.

The Chair stated that the Council had no legal powers in relation to the transfer of public owned land not in the Council’s ownership e.g. Homes England. There were concerns raised around the valuation of assets and that only being done by the Council’s internal team. The Managing Director advised we would always use our own professional employees, to undertaken valuations.

There was debate in relation to the Board appointees and the MDC Constitution with opinions being sharply divided amongst Members. It was noted that the Labour Group proposals tabled at the meeting were to be submitted to the Extraordinary meeting of Council to be held on 23 November 2022. It was also suggested in the meeting that an alternative to the MDC could be considered along the lines of a development zone as established by the Mayor of Greater Manchester and the Chief Solicitor was requested to examine the possibility of such a zone being an alternative. The Managing Director stated that the establishment of a development zone could only be considered by TVCA.

There was no dissent to decisions 1, 2, 4, 5 and 6 below. Decision 3 was agreed on the basis that the final decision would only be made by Council.

Decision

1. That the progress to date be noted.
2. That the outcome of the consultation carried out over the Summer of 2022 be noted.
3. That the report be referred to full Council and subject to Council agreeing to satisfactory safeguards and assurance being provided for within the MDC Constitution, the Leader of the Council as Cabinet member for the TVCA be authorised by Council to confirm his consent to the designation of the Hartlepool MDC in accordance with s3 (2) of the TVCA Functions Order.
4. The Committee noted that subject to approval of recommendation (c) above that officers will continue to work with the TVCA to secure written assurances to ensure as far as reasonably practicable that all of the elements set out in the HBC consultation response are adopted.

5. The Committee noted that work would continue with the TVCA to ensure sufficient safeguards are contained within the MDC Constitution a copy of which will be brought back to Members for information.
6. The Committee noted that a further report would be presented to Members regarding any financial or asset implications as part of the second stage of the consultation which would be undertaken by the Secretary of State.

[Councillor Brash left the meeting at this point.]

62. Hartlepool Housing Allocation Policy (*Director of Children's and Joint Commissioning Services*)

Type of decision

Key Decision (test (ii)) Forward Plan Reference No. CJCS 127/22.

Purpose of report

Members of Finance and Policy Committee were asked to approve a new Hartlepool Housing Allocation Policy.

Issue(s) for consideration

The Assistant Director, Joint Commissioning reported that the Council was required to have an allocation system for determining priorities between applicants for housing. There is currently a Tees Valley Partnership policy and system, however, this was not meeting the needs of the residents of Hartlepool and our approach, therefore, needed to be reviewed.

Consultation has taken place of the Hartlepool Housing Allocation Policy with elected members, registered providers, staff, residents', stakeholders and partners. 23 responses were received to the consultation across Hartlepool and the results were set out in an appendix to the report and summarised within the report.

The Assistant Director reported that to ensure that a system was in place to deliver the Housing Allocation Policy and a scheme that is fit for purpose, it would be necessary to procure a new system. The overall costing of this would be cost neutral as the Council would be subsuming its other housing system into the new system and using existing costs for this, thereby funding only one system instead of two.

The following recommendation was agreed without dissent.

Decision

That the Hartlepool Housing Allocation Policy as submitted be approved and that an appropriate system to deliver the policy be procured.

**63. Strategic Financial Management Report as
30 September 2022** (*Director of Resources and Development*)**Type of decision**

Non-key Decision

Purpose of report

The purpose of the report was to inform Members of:

- i) 2022/23 Forecast General Fund Outturn;
- ii) Corporate Income Collection Performance; and
- iii) 2022/23 Capital Programme Monitoring.

Issue(s) for consideration

The Chair moved that the report be deferred to the next meeting of the Committee. The Director of Resources and Development sought Committee's approval to the acceptance of a grant included within the report. The Council had been successful in securing £1.567m of funding from TVCA (via the UK Shared Prosperity Fund) as the lead authority in a joint Tees Valley bid, alongside the other four Tees Valley local authorities. The grant related to the 'Multiply Programme – Community Led' which would be managed by the Council's Adult Education Service with the aim of increasing numeracy skills in adults across the region focusing on those economically inactive, with a disability/health problem or from the BAME community. The funding was for the period 1st December 2022 to 31st March 2025 and would be split between the five Tees Valley local authorities on a pre-agreed percentage split. Hartlepool would receive approximately £0.260m.

The remainder of the report was deferred to the following meeting.

Decision

That approval be given to the formal acceptance of the grant for delivery of the 'Multiply – Community Led' programme, which Hartlepool Borough Council will manage on behalf of the five Tees Valley Local Authorities

- 64. Housing Advice and Homelessness Update** *(Director of Children's and Joint Commissioning Services)*
- 65. Asylum Seekers and Refugees** *(Director of Children's and Joint Commissioning Services)*
- 66. Corporate Complaints Monitoring Report for 2021/22** *(Monitoring Officer)*

Decision

The above three items were deferred for consideration at the next meeting of the Committee scheduled to be held on Monday 12 December, 2022.

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

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

Minute 68 – Brenda Road Housing Scheme – This item contains exempt information under Schedule 12A Local Government Act 1972 as amended by the Local Government (Access to Information) (Variation) Order 2006 namely (para 3)

68. Brenda Road Housing Scheme *(Director of Resources and Development)*

This item contains exempt information under Schedule 12A Local Government Act 1972 as amended by the Local Government (Access to Information) (Variation) Order 2006 namely (para 3)

Type of decision

Key Decision (test (i) applies).

Purpose of report

The purpose of the report is to provide an updated position on the Brenda Road Housing scheme and the Housing Revenue Account's (HRA) proposed acquisitions

Issue(s) for consideration

Details are set out in the exempt section of the minutes.

Decision

The decision is set out in the exempt section of the minutes.

69. Any Other Items which the Chairman Considers are Urgent

None.

The meeting concluded at 12.45 pm.

H MARTIN

CHIEF SOLICITOR

PUBLICATION DATE: 6 DECEMBER 2022

FINANCE AND POLICY COMMITTEE

12th December 2022



Report of: Director of Resources and Development

Subject: MEDIUM TERM FINANCIAL STRATEGY (MTFS)
2023/24 TO 2024/25

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Budget and Policy Framework.

2. PURPOSE OF REPORT

2.1 The purpose of this report is to provide an update on the impact of the Chancellor's Autumn statement and to approve the savings proposals to be referred to individual Policy Committees.

3. BACKGROUND

3.1 Comprehensive MTFS reports were considered by Finance and Policy Committee on 28th September 2022 and 21st November 2022. These reports set out the financial challenges facing the Council in the next two financial years owing to the impact of inflation, which was initially driven by high energy/fuel costs and is now spreading into other cost areas and national pay settlement.

3.2 The November report advised Members that over the next two years the deficit is **£9.750m**, which is net of the 1.9% Council Tax and 1% Adult Social Care precept approved by Council on 29th September 2022. As over **80% (£8.076m)** of the deficit is in 2023/24, the recommended strategy is to manage the deficit more evenly over the next two financial years, with a small part of the deficit deferred to 2025/26. This will be achieved through a combination of one off resources from temporary investment income and use of reserves.

3.3 As one off resources are not sustainable a robust savings plan is needed and the November report recommended this would need to ensure that:

- By December 2022 saving of £4.076m have been identified and the full year saving for 2023/24 can be achieved;

- By May 2023 saving of £4.674m have been identified to provide the lead time to implement the full year saving from 2024/25;
- By May 2023 saving of £1m have been identified to address the remaining deficit deferred from 2024/25 and provide the lead time to implement the full year saving from 2024/25.
- Determine the one off costs – which will include contractual staff redundancy and retirement costs arising from further staffing reduction, as these costs will need to be funded from available one off reserves.

3.4 An initial assessment of the Chancellor's Autumn Statement on 17th November was presented to the Committee on 21st November. This report provides a more detailed assessment of the impact on the Council.

4. CHANCELLOR'S AUTUMN STATEMENT

4.1 This statement provided a number of important announcements regarding council funding as highlighted in the following paragraphs and section 5 assesses the forecast impact on the MTFS.

4.2 Social Care funding

4.3 The Government has delayed the national rollout of social care charging reforms from October 2023 to October 2025 and stated they will **"make available"** up to £2.8 billion in 2023/24 and £4.7 billion in 2024/25 to help support adult social care and discharge. There are a number of important details to this statement:

- The £4.7 billion figure for 2024/25 includes the continuation of £2.8 billion from 2023/24.

This means the additional new funding for 2024/25 is only £1.9 billion.

This funding also includes recycled funding provided for adult social care reform which has been delayed to October 2025. It is unclear from the Autumn Statement if this funding continues beyond the Spending Review period, or if the delayed reforms are implemented from October 2025, whether this funding will be reallocated for this, or new funding provided. This uncertainty is not helpful for any council as this needs to be base line funding.

- The figures for 2023/24 and 2024/25 include the continuation of existing funding for the Better Care Fund which is already included in the MTFS as recurring funding.
- The figures also include new hospital discharge funding to pay for additional care packages to get people out of hospital. This is budget neutral as without this funding the care packages could not be provided and people would remain in hospital for longer.

- **Make available** - this means the total funding figures include a Government assumption that all authorities will make use of the increase in Council Tax flexibility. This is expected to be a core Council Tax limit of 3%, plus 2% for Adult Social Care (ASC) precept - i.e. a total limit of 5%, Compared to the previous indicative total limit of 3% announced last year for 2022/23 to 2024/25.

Government figures indicate Council Tax and ASC precept is a total of £0.5 billion in 2023/24 and a further £0.62 billion in 2024/25. **The national position for 2023/24 on Council Tax, including the ASC precept, continues the position of the last seven years, where a significant part of the Government's funding strategy for councils had relied on individual councils implementing these increases.**

For Hartlepool the ASC precept provides recurring funding **£4.6m** in the current year (2022/23) – which is **14%** of the budget for Adult Social Care. This highlights the existing reliance on this funding.

- After reflecting the above factors the net national increase in Government grant funding is £1.3 billion in 2023/24 and £0.6 billion in 2024/25.

This funding had not been anticipated and is therefore a benefit for the MTFS. Effectively this funding will partly mitigate the significant inflation increase included in the MTFS for Adult Social Care and Children's Social Care.

4.4 The following table provides a summary of the issues outlined above and it is worth noting that by 2024/25:

- New funding is **£3.02 billion**, compared to **£4.7 billion** headline funding;
- The **£3.02 billion** new funding the Government's forecasts **assumes £1.12 billion (37%)** will come from the use of Council Tax and ASC precept flexibility by authorities.

	(A) 2023/24 £ billion	(B) (2024/25 £ billion	(C = A + B) 2024/25 Total Recurring funding £'billion
Better Care Fund	0.6	0.40	1.0
Hospital Discharge grant	0.4	0.28	0.68
Sub Total - recurring grant and grant for new commitments	1.0	0.68	1.68
New Social Care Grant (Adults and Children)	1.3	0.60	1.90
Use of Council Tax and ASC precept flexibility	0.5	0.62	1.12
Sub Total – new funding	1.8	1.22	3.02
Total All Funding	2.8	1.9	4.7

4.5 National Living Wage (NLW) increase

- 4.6 The NLW as at April 2022 is £9.50 and will increase to £10.42 in April 2023. This will increase pressure on the Council's budget, as it increases external contract prices. Additionally, after a period of pay freezes and below inflation pay increases this also put pressures on public sector pay.

4.7 Energy

- 4.8 The Autumn Statement indicated a review of the Energy Bill Relief Scheme to determine support for non-domestic energy customers, excluding public sector organisations, beyond 31 March 2023 will be completed and published before 31 December 2022. The Chancellor stated the overall scale of support the Government can offer will be significantly lower, and targeted at those most affected.
- 4.9 As part of the MTFS strategy, the Council established an energy cost reserve at year end as part of a twofold strategy for increasing the revenue budget for anticipated long term prices and use of this reserve for shorter term forecast spike. This strategy has protected the Council in the current year.
- 4.10 The position on energy prices remains volatile. At this stage it is anticipated that a combination of use of this reserve and the increased revenue budget will be sufficient to manage the 2023/24 position. The on-going position will require further consideration as part of the 2024/25 budget.

5. IMPACT OF AUTUMN STATEMENT ON FORECAST 2023/24 RESOURCES

- 5.1 The actual impact on individual councils will not be known until the provisional 2023/24 Local Government Finance Settlement is announced later this month. An initial assessment has been made as detailed in **Appendix A**, which also includes changes in local planning forecasts, and is summarised below. Any further national changes will be reported in January 2023.

Summary on increase in forecast net resources 2023/24

	Increase in forecast resources / (addition cost) £'m
Additional Adult and Children Social Care funding	2.700
Council Tax base	0.215
Adult Social Care (ASC) precept	0.470
Core Council Tax increase	0.470
Impact of NLW increase on Adult Social Care contracts	(0.400)
Impact of NLW increase on Local Government pay	(0.600)
Children's Social Care	(0.200)
Net forecast increase in resources	2.655

6. STRATEGY FOR MANAGING REVISED 2023/24 BUDGET DEFICIT

- 6.1 The previous report (21.11.22) advised Members that the deficit for the next two years is **£9.750m**. As **80% (£8.076m)** of this amount is in 2023/24 it was previously agreed to use reserves and one off investment income to phase the deficit over more than one year and on this basis it was anticipated saving of £4.076m would need to be identified.
- 6.2 The additional resources available from Autumn Statement partly mitigate the budget pressures facing the Council. However, difficult decisions still need to be made in relation to use of the Council Tax / ASC precept flexibility and budget savings.
- 6.3 It remains appropriate to use one off resources to support the 2023/24 budget. However, as set out below there is now a clear opportunity to reduce this temporary support - which will put the Council on a firmer financial footing at a time on increased external uncertainty.
- 6.4 This position is based on:

- Implementing the saving proposals identified in **Appendix C**.

These savings are summarised below and have the least impact on services and staffing levels:

Proposed 2023/24 Savings

Category of savings	£'m
Corporate savings across all departments	0.130
Staffing structures and reducing vacant posts	0.422
Efficiency Savings	0.461
Demand Management	0.400
New Fees and Charges	0.298
Service Reductions	0.057
Total	1.768

- Full use of the increase in Council Tax and ASC flexibility;
- Use of £1m temporary investment income to support the budget;
- Use of the Budget Support Fund.

Apply this as the balancing figures enables use of this one off funding to be reduced from a forecast recommended maximum of £3m to £2.043m.

- 6.5 The impact of the recommended strategy, including the use of the full Council Tax and ASC precept flexibility is summarised below.

Summary of Recommended Strategy to Address 2023/24 Deficit

	Position reported 21.11.22	Revised position WITH use of full Council Tax and ASC precept flexibility
	£'m	£'m
Gross deficit	8.076	8.076
Less – Reduction in general inflation provision recommended within 21.11.22 MTFS report #	(0.610)	(0.610)
Less – Net forecast increase in 2023/24 resources (details Appendix A and includes additional £0.470m full use of Council Tax flexibility plus a further £0.470m full use of ASC precept flexibility)	0	(2.655)
Less – Proposed savings	(2.997)	(1.768)
Less – Temporary Investment income	(1.000)	(1.000)
Less – Use of Reserves	(3.000)	(2.043)
Deficit Still to be addressed	0.469	0

This does not impact on the inflation provision for specific known costs pressures, or provision for a forecast national 2023/24 pay award. It requires other inflation pressures to be managed within a 2% limit, which will require departments to make efficient use of resources.

6.6 **Appendix B** details the Council Tax and ASC precepts levels of using the full flexibility for 2023/24 by property band and in summary this shows:

- For the majority of LCTS households (94% in either Band A and B), if in receipt of full support the annual increase is £7.20 - which is 14p per week for Band A, or £8.40 – which is 16p per week for Band B.
- For the majority of non LCTS households (70% in either Band A and B) the annual increase is either £60 - which is £1.15 per week. for Band A, or £70 – which is £1.35 per week for Band B..

6.7 Implications of not using the full Council Tax and ASC flexibility

6.8 Not using the full Council Tax and ASC flexibility (i.e. maintaining the core increase of 1.9% and ASC precept of 1% approved by Council 29.09.22) would reduce the recurring resources available to the Council. Over the three year MTFS period this equates to nearly £3m of lost resources.

6.9 The level of Council Tax and the ASC precept is a decision for Members. The reality of the national funding system means Councillors across the country are in the unenviable position of either using the Council Tax and ASC

precept flexibility provided by the Government, or replacing the recurring lost income by cutting services.

- 6.10 **If the full Council Tax flexibility is not used the budget will be less robust as recurring income of £0.940m will be permanently lost and will have to be replaced by making additional budget cuts.** This means the Council will have lost the opportunity to protect services.
- 6.11 Further information is provided in section 9 in relation to the robustness of the budget. It is recommended that if this increase in recurring income is not achieved it will need to be replaced by implementing additional saving in 2023/24 to be identified from the items detailed in **Appendix D - which 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.**

7. UPDATE OF 2024/25 BUDGET POSITION

- 7.1 As reported in previous MTFS reports and detailed in the previous paragraphs the use of one off resources to set the 2023/24 budget will defer a significant deficit to 2024/25.

- 7.2 In addition, the 2024/25 budget will be impacted by

- **Inflation**

The forecast deficit for 2024/25 included an initial assessment of inflation and an assumption it will fall from the current high level. This issue, including the level the April 2024 NWL is set at will continue to be a risk.

- **The level of Council Tax / ASC precepts**

It appears the Council Tax and ASC precept flexibility announced by the Chancellor is for both 2023/24 and 2024/25. This position will hopefully be clarified in the Local Government Finance Settlement announcement later this month.

- **Additional grant for Adult and Children's Social Care**

As set out earlier in the report an additional £0.6 billion will be provided in 2024/25. Assuming the existing distribution formula is used the Council could potentially receive £1.2m.

However, whilst inflation is expected to reduce in 2023 it will still be high when 23024/25 contract prices are set for Adult Social care. Additionally, there will be continued pressures and political commitment to increase the NWL in April 2024. Therefore, these issues could fully commit the 2024/25 funding provided by the Government to support Adult Social Care costs.

- 7.3 In view of the current uncertainty in relation to these issues the current forecast 2024/25 deficit of approximately **£3.9m** remains the appropriate

planning assumption. This assumes the recommendations detailed in this report are approved.

- 7.4 The position for 2024/25 will be updated as more information becomes available as there is a significant risk the deficit will be higher. However, it is clear 2024/25 will be even more challenging to manage than 2023/24 and require further significant budget cuts.

8. SENIOR OFFICER PAY AND MEMBERS ALLOWANCE

- 8.1 Senior officer pay is disclosed on an annual basis within the Statement of Accounts and the Pay Policy Statement. In response to questions at the September meeting the Managing Director has prepared the information detailed in **Appendix E**.
- 8.2 The Council discloses details of Members allowances within the Statement of Accounts and exceeds the minimum disclosure by providing the detailed information set out in **Appendix F**. The minimum disclosure simply requires councils to detail the total paid to all Councillors within the Statement of Accounts.
- 8.3 The level of Councillors Allowances is determined following consideration of a report from the Independent Remuneration Panel (IRP) – which set allowances up to 31.03.21. The Council does not have to accept the IRP recommendations, provided any alternative allowances are set below the level recommended by the IRP.
- 8.4 As detailed in Appendix F the Basic Allowances for Hartlepool is £8,330, this is the fourth lowest in the North East and compares with:
- Range for 12 North East councils of £7,608 to £13,329
 - Average for North East Councils £9,769
 - Range for Tees Valley £7,608 to £9,813
 - Average for Tees Valley (excluding Hartlepool) £8,727

Tees Valley cost per resident for Basic and Special Responsibility Allowances

Authority	Amount per resident
1	£5.74
2	£5.54
Hartlepool	£4.13
3	£3.67
4	£3.61
Tees Valley Average (excluding Hartlepool)	£4.48

- 8.4 If Hartlepool set the Basic Allowance at the North East lowest and also applied this to Special Responsibility Allowances it would cut allowances by 9% - a potential saving of £34,000.
- 8.5 Conversely if Hartlepool set the Basic Allowance at the North East average and also applied this to Special Responsibility Allowances it would increase allowances by 17% - a potential cost of £65,000. Using the Tees Valley average the increase would be 4.8% - resulting in a potential cost of £18,000.

9. ROBUSTNESS ADVICE AND CONCLUSION

- 9.1 All councils are facing significant financial challenges owing to the impact of inflation and national pay awards. This includes Hartlepool and these issues are the key driver of the budget deficit facing the Council.
- 9.2 The Chancellor's Autumn statement has provided a clear direction for public spending and taxation. On spending the Government are providing increased funding for Adult and Children's Social care. However, this only partly mitigates the impact of inflation (including the impact of the April 2023 NLW increase) on these services.
- 9.3 In relation to taxation the Government will raise additional income through a combination of measures, including freezing income tax allowances and providing councils with increased flexibility to increase Council Tax and the ASC precept, consisting of:
- Core Council Tax limit increased from 2% to 3%;
 - Adult Social Care precept limit increased from 1% to 2%.
- 9.4 Figures set out in the Chancellor's Autumn Statement show the increased flexibility to increase Council Tax and the ASC precept are a key component of the funding for Social Care - potentially raising £1.12 billion nationally by 2024/25 – which is 37% of the new national funding for these services.
- 9.5 For the Council the increased flexibility enables the previously approved increase of 2.9% (1.9% core increase plus 1% ASC precept) to be increased to 4.9% (2.9% core increase plus 1% ASC precept).
- 9.6 In view of the above issues the most robust basis for the Council's financial sustainability and resilience in 2023/24 is to increase Council Tax and the ASC precept in line with the national limit as this provides additional recurring resources of £0.940m.

9.7 Not implementing this increase will have a number of important implications:

- **Not achieve an increase in recurring in resources of £0.940m**

As Council Tax and ASC precepts referendum are year specific and provided on a 'use it or lose it' basis this income cannot be recovered in future years. Therefore, the loss of this income will have to be offset by making higher savings in 2023/24;

The following table highlights the cumulative impact of not using the increased Council Tax and ASC precept flexibility announced in the Autumn Statement for 2023/24 and 2024/25.

Reduction in Council Tax and ASC income

	2023/24 £'m	2024/25 £m	2025/26 £'m	Total £'m
2023/24	0.940	0.940	0.940	2.820
2024/25	0	0.940	0.940	1.880
Total	0.940	1.880	1.880	4.700

- **Impact on the ability to argue for increased funding from the Government**

The Government will not look sympathetically on councils which claim they have insufficient funds and have not made full use the available flexibility. The Government will also argue that the allocation formula for the 2023/24 Adult and Children's Social Care grant takes account of relative need, so that more deprived councils with a low council tax base will receive more grant funding;

- **Impact on the financial sustainability of the Council.**

As Council Tax and the ASC care precept account for **42%** of recurring resources not increasing this income in line with available national referendum limits will adversely impact on financial sustainability.

In the event that a section 114 notice is required at a future date the Council will be held accountable for the impact of decisions made in relation to Council Tax and the ASC on the Council's financial sustainability.

9.8 It would not be robust to replace a reduction in 2023/24 recurring Council Tax and ASC precept resources by using reserves, or other one off funding, as the budget proposals are already based on using one off resources in 2023/24. This is part of a managed strategy for addressing the budget deficit over two years.

- 9.9 In summary the 2023/24 deficit can be addressed using a combination of measures which minimise the impact on services. Whilst, this strategy uses slightly less one off funding to balance the 2023/24 budget these resources still cover **37.7%** of the 2023/24 deficit.
- 9.10 This is not sustainable as **£3.043m** of the deficit is being deferred from 2023/24 to 2024/25. As reported in previous MTFS reports, a robust strategy to address the forecast 2024/25 and 2025/26 deficit needs to be developed by May 2023. This will then provide the basis for managing continuing financial uncertainty during 2023/24 and 2024/25.

Summary of measure to address 2023/24 budget deficit

	£'m	Percentage of deficit
Gross deficit	8.076	
Less – Reduction in general inflation provision	(0.610)	7.6%
Less – Net forecast increase in 2023/24 resources (details Appendix A and includes additional £0.470m full use of Council Tax flexibility plus a further £0.470m full use of ASC precept flexibility)	(2.655)	32.8%
Less – Proposed savings	(1.768)	21.9%
Less – Temporary Investment income	(1.000)	12.4%
Less – Use of Reserves	(2.043)	25.3%
Deficit Still to be addressed	0	

10 RECOMMENDATIONS

10.1 It is recommended that Members

- i) Note the report, including the Government's decision to provide increased Council Tax (up to 3%) and ASC precept (up to 2%) flexibility as part of their strategy for funding services;
- ii) Note these limits are year specific, which means any unused limit results in a permanent reductions in recurring income;
- iii) Recommend to Council use of the increased Council Tax flexibility provided by the Government and recommend an increase in Council Tax of 2.9% and the ASC precept of 2%. This will provide additional recurring income of £0.940m, which will help protect services and provide the most robust basis for setting the 2023/24 budget;

- iv) On the basis of approving recommendation (ii) note the 2023/24 budget can be balanced through the measures detailed in paragraph 9.10 – including using one off reserves to defer a deficit of £3.043m from 2023/24 to 2024/25, which will require a robust savings plan to be developed by May 2023.
- v) Refer the recommended 2023/24 savings detailed in Appendix C Policy Committee for scrutiny / comment back to this Committee on 23th January, including suggesting alternative proposals if Members do not wish to implement these proposals.

12 REASON FOR RECOMMENDATIONS

- 12.1 To enable the Finance and Policy Committee to approve the proposals to progress the development of the MTFS.

13. BACKGROUND PAPERS

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

- Finance and Policy Committee - Medium Term Financial Strategy (MTFS) 2023/24 to 2024/25 – 20th June 2022.
- Finance and Policy Committee - Medium Term Financial Strategy (MTFS) 2023/24 to 2024/25 – 28th September 2022.
- Finance and Policy Committee - Medium Term Financial Strategy (MTFS) 2023/24 to 2024/25 – 21st November 2022

14. CONTACT OFFICER

Chris Little
 Director of Resources and Development
 Email: chris.little@hartlepool.gov.uk
 Telephone: 01429 523003

Sign Off:-

Managing Director	<input checked="" type="checkbox"/>
Director of Resources and Development	<input checked="" type="checkbox"/>
Chief Solicitor	<input checked="" type="checkbox"/>

APPENDIX ASummary on increase in forecast net resources 2023/24

	Increase in forecast resources / (addition cost) £'m
<p>Additional Adult and Children Social Care funding</p> <p>The £1.3 billion of national funding will be allocated using the national formula which has been used in previous years, with the data used in the formula being updated.</p> <p>On this basis the Council should receive £2.7m and for planning purpose it is anticipated this is recurring funding for 2024/25.</p> <p>To provide context to this figure the inflation and service pressures for Adult and Children Social Care included in the MTFS for 2023/24 are £4.920m.</p>	2.700
<p>Council Tax base</p> <p>There is a separate report setting the 2023/24 Tax Base of 25,342 (2022/23 – 24,928). This is slightly higher than the forecast 2023/24 of 25,228, which provides additional recurring income of £0.215m.</p>	0.215
<p>Adult Social Care (ASC) precept</p> <p>The ASC precept limit is expected to increase from 1% to 2%, as indicated by the Chancellor. This is an integral element of the Government's funding strategy for Adult Social Care as detailed earlier in the report.</p> <p>Council (29.09.22) approved a 1% ASC precept increase on the basis of the precept limit set at the time.</p> <p>Increasing this to the new limit will secure additional recurring income.</p>	0.470

<p>Core Council Tax increase</p> <p>The core Council Tax referendum limit is expected to increase from 2% to 3%, as indicated by the Chancellor.</p> <p>This is also an integral element of the Government's funding strategy for Adult Social Care as detailed earlier in the report.</p> <p>Council (29.09.22) approved a 1.9% core Council Tax increase on the basis of the limit set at the time.</p> <p>Increasing this to 2.9% (just below the new 3%) limit will secure additional recurring income.</p>	0.470
<p>Impact of NLW increase on Adult Social Care contracts</p> <p>The NLW as at April 2022 is £9.50 and will increase to £10.42 in April 2023. Whilst this is only slightly higher than the forecast increase of £10.32 the impact for Adult Social Care contracts is significant owing to the high proportion of staff paid the NLW.</p>	(0.400)
<p>Impact of NLW increase on Local Government pay</p> <p>Recent increases in the NLW and the Chancellor recent reaffirmation of Government policy for NLW to reach 66% of median earnings in 2024 will be a major factors on determining future national pay awards for council employees.</p> <p>The 2022/23 national pay settlement set the minimum pay point at £10.50. This equated to a 10% pay increase for Local Government staff paid at this level and for a full time employee provided an annual increase of £1,925.</p> <p>The Council does not use the minimum point of £10.50 and uses £10.79.</p> <p>The increase in the NLW to £10.42 in April 2023 will need to be addressed as part of the national pay settlement for Local Government employees.</p> <p>If the National Employers Organisation determine to maintain a differential of £1 per hour above the NLW this will require a national minimum of £11.42 – an increase of 8.8% - which would equate to flat rate increase of approximately £1,700. This figure compares to forecasts from the Low Pay Commission that the NLW could be between £10.82 and £11.35 in April 2024.</p> <p>The national pay offer may revert to different percentage increases, with higher increases for the lowest paid. This issue</p>	(0.600)

<p>will need careful consideration at a national level owing to the impact on pay differentials and increasing pressures to retain and recruit staff across a wide range professions and roles.</p> <p>The MTFS forecast for 2024/25 currently includes a 4% pay provision. It would be prudent to increase this to 5%, although there remains a risk this may not be sufficient. Each 1% additional increase is £0.6m.</p>	
<p>Children's Social care pressure</p> <p>This reflects continuing inflation pressures.</p>	(0.200)
Net forecast increase in resources	2.655

4.1 APPENDIX B

2023/24 COUNCIL TAX AND ASC PRECEPT LEVELS

(Based on 2.9% Council Tax increase and 2% ASC Precept increase)

Draft Council Tax (Full. Non Parish Area)

2023/24 Core (2.90%) £	2023/24 ASC (2.0%) £	2023/24 Total (4.90%) £	Band	Annual Increase £	Weekly Increase £
1,122.73	161.81	1,284.54	Band A	60.00	1.15
1,309.85	188.78	1,498.63	Band B	70.00	1.35
1,496.98	215.75	1,712.72	Band C	80.00	1.54
1,684.10	242.72	1,926.81	Band D	90.00	1.73
2,058.34	296.65	2,354.99	Band E	110.00	2.12
2,432.59	350.59	2,783.18	Band F	130.01	2.50
2,806.83	404.53	3,211.36	Band G	150.01	2.88
3,368.19	485.43	3,853.62	Band H	180.00	3.46

Draft Council Tax (Full LCTS - 12% -Non Parish Area)

2023/24 Core (2.90%) £	2023/24 ASC (2.0%) £	2023/24 Total (4.90%) £	Band	Annual Increase £	Weekly Increase £
134.73	19.42	154.15	Band A	7.20	0.14
157.18	22.65	179.84	Band B	8.40	0.16
179.64	25.89	205.53	Band C	9.60	0.18
202.09	29.13	231.22	Band D	10.80	0.21
247.00	35.60	282.60	Band E	13.20	0.25
291.91	42.07	333.98	Band F	15.60	0.30
336.82	48.54	385.36	Band G	18.00	0.35
404.18	58.25	462.44	Band H	21.60	0.42

Summary of Saving Proposals 2023/24 and 2024/25 - Previously Approved

Category	Cttee	Budget Reduction Heading	Budget Reduction 2023/24 £000	Budget Reduction 2024/25 £000	Budget Reduction 2025/26 £000	Total Budget Reduction £000	Staff impact over three years	Equality & poverty impact	Description of proposed savings
1	Corporate	Salary Abatement Target	70	0	0	70	0	none	The base budget only provides funding for 98% of the pay budget as a 2% turnover target is assumed. The turnover target can be increases in line with April 2022 average pay award plus forecast April 2023 pay award.
1	Corporate	Car Mileage costs	60	0	0	60	0	tbc	Reduction in expenditure arising from new ways of working, including less face to face meetings and replacement with online meetings.
Total 1 - Corporate savings across all departments			130	0	0	130			
2	Finance & Policy	Revenue/Benefits	65	0	0	65	2	none	Review of management and staffing structures. Rephased to achieve full saving in 2023/24, rather than phase over two years.
2	A&CBS	Adult Social care - Staffing Review	80	0	0	80	2	A / B	Review of staffing linked to re-procurement of the assistive technology service - rephased to achieve full saving in 2023/24, rather than phase over two years.
2	A&CBS	Mobile Library Service	6	0	0	6	1	A / B / J	Staffing reduction linked to cessation of the mobile library service, that has been approved previously.
2	A&CBS	Review of PA / Admin capacity	30	0	0	30	1		A review of ACBS and CSJC PA/admin team enables the deletion of a vacant post.
2	A&CBS	Culture, Event and Participation Teams	58	0	0	58	3		Restructure to remove vacant posts and realign duties of remaining staff.
2	A&CBS	Workforce Development	25			25	1		Restructure to review posts, with one deletion and partial replacement with lower gadded part time post, plus recurring training budget saving.
2	NRS	Stores	20			20	1		Restructure and realign duties of remaining staff.
2	CJCS	One Stop Shop	36			36			One Stop Shop undertakes the statutory role of supporting young people aged 15-17 into positive destinations to ensure they are engaged in education, employment or training. This is a small team made up of six workers and a manager. Proposal is to delete vacant post recently arisen in team. Fewer staff supporting this cohort may result in deterioration in performance in terms of the HBC NEET and not known figures but team will work hard to continue to seek to mitigate this.
2	R&D	Strategic Development	55			55	1		Removal of vacant posts and reallocation of duties within team
2	R&D	Revenue & Benefits / Shared Services	29			29			Non pay budget savings and efficiencies
2	R&D	Legal Dept.	6	34		40			Review of operational costs of service over two years.
2	Corporate	Senior Management structure	12	0	0	12			Structure changes approved by F and P Cttee 28.09.22, included deletion of Assistant Director post, increased responsibility for remaining Assistant Directors and increased capacity for Digitisation of services.
Total 2 - Staffing structures and reducing vacant posts			422	34	0	456			

Category	Cttee	Budget Reduction Heading	Budget Reduction 2023/24 £000	Budget Reduction 2024/25 £000	Budget Reduction 2025/26 £000	Total Budget Reduction £000	Staff impact over three years	Equality & poverty impact	Description of proposed savings
3	Finance & Policy	Review reception/Front of house model	5	0	0	5	tbc	none	Rationalisation of IT systems and small staffing saving.
3	A&CBS	Adult Social care - Commissioned Services	60	0	0	60	0	A / B / J	Saving achieved from the reprovision of day services for older people, moving from a building based model to Community Led Support.
3	A&CBS	Community Hubs and Libraries	71	0	0	71	2		Rationalisation of IT systems used by the library service and staffing savings.
3	A&CBS	Reduction in NMRN subsidy	100	0	0	100	0		Reduction in recurring NMRN subsidy has been agreed. Ongoing subsidy to be reviewed as part of 2024/25 budget consideration as there may be potential to reduce subsidy further if NMRN can increase visitor numbers and / or secure new income streams as a result on planned investment and development of site.
3	Neighbourhoods	Savings to Subscriptions Budgets	4	0	0	4	0		Reduction in subscriptions.
3	NRS	Building Cleaning	33			33			Review of standards whilst maintaining appropriate health and safety of working environment and reduction in admin. costs
3	NRS	Local Access Forum Delivery Officer	3			3			Partnership contribution ceased.
3	Children's	Chatham House (Asset Review)	25	0	0	25	0	tbc	Children's services have moved services from Chatham House (formerly and Children's Centre) and co-located with another service at the Windsor offices. Chatham House has therefore been closed and all associated costs with running the building can contribute to savings.
3	Children's	Governor clerking service	20	0	0	20	2	tbc	HBC provides a Governor clerking service to schools delivered by two members of staff. Both staff have indicated their intention to retire in 2023. The service is a traded service with schools, however the number of schools that buy back the service has reduced over recent years as schools have converted to academies and made other arrangements and the income does not cover the costs of the posts. Going forward, all schools will joint Multi Academy Trusts and need to make arrangements for governance clerking. The local authority will offer a point of advice, but this will be absorbed within another role when the members of the governor support team retire. Proposed saving is net of income.
3	R&D	Capitalise staffing costs	58			58			Proposal reflects areas staff are working on and removal of recurring revenue budget
3	Corporate	Asset Review	82	90	0	172	0	tbc	Savings based on: Hartfield's and The Willows (yr1) Civic consolidation start (Bevan and Windsor) (yr2) other options e.g. Brinkburn (yr3). Achieving savings will require one of funding from the Budget Support Fund and will be subject to business case demonstrating payback.

Category	Cttee	Budget Reduction Heading	Budget Reduction 2023/24 £000	Budget Reduction 2024/25 £000	Budget Reduction 2025/26 £000	Total Budget Reduction £000	Staff impact over three years	Equality & poverty impact	Description of proposed savings
Total 3- Efficiency Savings			461	90	0	551			

Category	Cttee	Budget Reduction Heading	Budget Reduction 2023/24 £000	Budget Reduction 2024/25 £000	Budget Reduction 2025/26 £000	Total Budget Reduction £000	Staff impact over three years	Equality & poverty impact	Description of proposed savings
4	A&CBS	Demand management in adult social care.	400	0	0	400	0		Continued work to manage demand for adult social care services through Community Led Support, securing NHS funding for people with identified health needs and scrutiny of complex / high cost packages of care.
Total 4- Demand Management			400	0	0	400			
5	Neighbourhoods	Staff and Member Car Parking	4	0	0	4	none	none	Increase in charges
5	Neighbourhoods	Post 16 SEND Transport	37	0	0	37	0.34	A /B / J	Changes introduced in 2022/23 and full year saving will be achieved in 2023/24 owing to phased implementation over academic years
5	Neighbourhoods	Home to School Transport	7	3	0	10	0		Increase charge for Home to School Transport for surplus seat sales on school buses.
5	Neighbourhoods	Garden Waste	250	60	75	385			This proposal would introduce a charge for garden waste collection. Nationally around 250 of councils already charge for this service. In the North East 7 out of 12 councils charge of between £32 and £43 per year. The councils who do not charge are likely to be review this position as of 2023/24 budget options.. The proposals is to introduce an annual charge of £41.50 from April 2023. The income phasing reflects forecast take up of the service and experience of other councils with similar properties mixes to Hartlepool - i.e. houses with and without gardens.
Category 5- New Fees and Charges			298	63	75	436			
6	EG&R	Business Support Grants	25	0	0	25	0	N/A	Over the last four years (18/19 to 21/22) annual average spend was £17,000 and 85% of grants were for £500. On this basis it is recommended that the remaining budget is removed. Major inward investment will continue to be supported by officer working with potential investors to secure grants from BEIS, TVCA and other
6	EG&R	Closure HEC	23	0	0	23	none	none	Aiming to achieve asset transfer
6	NRS	Christmas Tree	9			9			Reduction to one Christmas Tree in Christ Church.
Total 6- Service Reductions			57	0	0	57			
Total			1768	187	75	2030			

Key - Equality & Poverty Impact

- A Age
- B Disability
- C Gender Reassignment
- D Marriage and Civil Partnership
- E Pregnancy and Maternity
- F Race
- G Religion and Belief
- H Sex
- I Sexual Orientation

Category	Cttee	Budget Reduction Heading	Budget Reduction 2023/24 £000	Budget Reduction 2024/25 £000	Budget Reduction 2025/26 £000	Total Budget Reduction £000	Staff impact over three years	Equality & poverty impact	Description of proposed savings
----------	-------	--------------------------	-------------------------------	-------------------------------	-------------------------------	-----------------------------	-------------------------------	---------------------------	---------------------------------

J Poverty

SENIOR OFFICER PAY – NOTE FROM MANAGING DIRECTOR**Background**

For the purpose of this note Senior Officers have been defined as myself, Directors (4 posts) and Assistant Directors (12 posts). As is the case for all officers any proposed changes to terms and conditions would require negotiation and if an agreement could not be reached the option to dismiss and re-engage could then be considered by the Council.

Clearly the option to dismiss and re-engage would always be a last resort and has never been adopted by the Council. As Head of Paid Service it is not an option I would recommend to Council owing to the adverse impact on morale of the senior leadership team of the Council and the high likelihood officers would look to secure roles with other councils.

In considering the level of senior officer pay I would make a number of observations:

- **The impact on morale**

Senior Managers do not work a 37 hour week, nor do they expect to do so. The additional hours worked are not visible as it is work done on an evening and at a weekend. Senior managers understand this goes with the role and their personal and professional commitment to the roles they perform. This commitment and flexibility may be at risk if pay is reduced.

- **Impact of pay reductions and pay restraint**

Pay restraint for all public sector employees was part of the previous period of austerity. This involved a period of pay freezes (which last a year longer for Chief Officers than other staff) and a period of below inflation pay awards. This has continued for 2022/23 with a flat rate increase for all staff - a position senior Chief Officers all support.

The Managing Director salary grade was £163k to £168k in 2010/11 and reduced to a single point grade of £156.8k in 2022/23.

At the level of Director the grade was reduced by a previous Administration when a new structure was approved. This was done when posts were vacant or individuals were retiring. As result the top pay point of the Director has reduced from £130k in 2010/11 to £123.7k in 2022/23.

For the avoidance of doubt neither myself, Directors or Assistant Director have any issue with this position as we all understand previous pay restraint impacted on all staff and accepted the terms and conditions when appointed to our current roles.

- **Regional comparisons**

Table 1 – Tees Valley Comparisons – Managing Director and Director Salaries

	Hartlepool	Tees Valley – range	Tees Valley – average (excluding Hartlepool)
	£'000	£'000	£'000
Managing Director	156.8	£142.7 to £157.8	£152.7 £156.0 (excluding lowest which is under review)
Director	£112.6 to £123.7	£124.7 to £131.1	£127.4

Comparisons at Assistant Director are more difficult as the five Tees Valley Councils operate different structures to deliver the full range of unitary council services. Using information published within the 2021/22 Accounts the following comparisons can be made. The table shows Hartlepool and Authority A have the flattest management structure. Authorities B, C and D have more management capacity than Hartlepool and Authority A.

Table 2 – Tees Valley – Assistant Director and next Management Tier comparisons

	Salary £60k to £65k	Salary £65k to £100k	Total
Hartlepool	4	12	16
Authority A	6	11	17
Authority B	11	15	26
Authority C	21	12	33
Authority D	8	35	43

Illustrative options of potential savings from reducing senior officer pay

As requested the following table details potential savings and one off costs. The one off costs are based on two potential scenarios:

- A buyout agreement with a one off payment – which would be in line with the position agreed for recent Terms and Conditions changes ;
- Agreement to implement and provide three year protection – in line with existing Terms and Conditions

Table 3 – Potential savings and one off costs

Percentage reduction	Potential recurring saving (including NI and pension costs) £'000	Potential protection costs (based on 3 years) £'000	Potential buyout costs (based on 2 years) £'000
5%	109	327	218
10%	218	634	436
15%	327	981	654
20%	436	1,308	872

Conclusion

I will not comment in relation to my pay and these comments relate to Directors and Assistant Directors.

As set out above the Council pay for Directors is below the Tees Valley average (table 1). Any proposal to reduce existing salaries would increase retention risk at a time when recruitment of experienced senior managers is extremely challenging.

In relation to Assistant Director structures and the tier below the Council has a lean structure and managers have broad areas of responsibility (table 2). Whilst the five Tees Valley councils differ in size they all have the same statutory responsibilities. The Council's lean structure highlights the commitment of senior manager in delivering the best possible services. I have previously reported that in many key areas the Council has external inspection evidence of service quality, which in many areas is the best in the Tees Valley.

Whilst I understand the rationale for looking at all areas for potential savings I hope that the information set out demonstrates to Members that

- the senior management structure of the Council is appropriate for a unitary council;
- the current structure provides value for money in terms of costs and service quality;
- pay grades are generally slightly below Tees Valley levels;
- the hard work and commitment of senior managers, including posts reporting to Assistant Directors should be recognised and valued.

SECTION 3 : Statement of Accounts

Note 11 - Councillor's Allowances & Expenses

The Council has decided to provide this additional note to provide a detailed breakdown of the Basic Allowance and Special Responsibility Allowances (SRAs) paid to individual Councillors for 2021/22.

Most Councils do not report this level of detail in their Statement of Accounts and simply show the total amount paid to all Councillors as a single figure.

The detailed arrangements for paying the Basic Allowance, SRAs and other expenses are defined by specific rules in the Council's constitution. The key components of these rules are described below:

Basic and Special Responsibility Allowances

The value of the Basic and Special Responsibility Allowances (SRAs) paid by the Council are based on recommendations made by the Independent Remuneration Panel (IRP).

On 22nd June 2017 Council considered a report from the Independent Remuneration Panel (IRP) detailing recommendations in relation to the Basic Allowance and Special Responsibility Allowances payable from 1st April 2017. The IRP had reviewed the allowances paid by the twelve North East Councils, including Hartlepool, and recommended increasing Hartlepool's Basic Allowance to £7,792. The IRP also recommended annual indexing of the allowances in line with the national Local Government pay award up to April 2020. For 2020/21 this resulted in a Basic Allowance of £8,330 and this continued for 2021/22. As summarised below Hartlepool has the third lowest Basic Allowance in the Tees Valley and the fourth lowest in the North East:

Summary of Basic Allowances paid by North East Councils 2021/22

Authority	Basic Allowance £
Northumberland	13,329
Durham	13,300
Gateshead	11,477
North Tyneside	10,643
Redcar and Cleveland	9,813
Stockton	9,300
Newcastle	9,200
Sunderland	8,369
Hartlepool	8,330
Darlington	8,188
South Tyneside	7,667
Middlesbrough	7,608

The IRP also recommended that Special Responsibility Allowances should continue to be set as multiples of the Basic Allowance and recommended percentages for each of the positions carrying a Special Responsibility Allowance. An individual Member can only receive one Special Responsibility Allowance. Finally the IRP recommended that separate payments for telephone expenses and travel/subsistence within the borough should be removed. Travel costs outside the borough continue to be paid. The recommendations of the IRP were approved by Council. A few Members determined that they did not wish to receive the increased Basic Allowance and opted to claim a lower amount.

SECTION 3 : Statement of Accounts

Note 11: Councillor's Allowances & Expenses

Table 1 - Councillor's Allowances & Expenses

Councillor	Basic Allowance	Special Responsibility Allowance	General Travel	General Subsistence	Total	2021/22
	£	£	£	£		£
Akers-Belcher C (01.04.21-10.05.21)	918	918	-	-		1,836
Akers-Belcher S J (01.04.21-10.05.21)	918	-	-	-		918
Ashton H (10.05.21-31.03.22)	7,434	-	-	-		7,434
Boddy M (10.05.21-31.03.22)	7,434	-	-	-		7,434
Brash J (10.05.21-31.03.22)	7,434	-	-	-		7,434
Brewer J (01.04.21-10.05.21)	918	-	-	-		918
Brown P	8,330	7,076	-	-		15,406
Buchan B (01.04.21-10.05.21)	918	551	-	-		1,469
Cartwright L (01.04.21-10.05.21)	918	-	-	-		918
Cassidy T	8,330	4,246	-	-		12,576
Clayton B (10.05.21-31.03.22)	7,434	-	-	-		7,434
Cook R (10.05.21-31.03.22)	7,434	7,076	-	-		14,510
Cowie B (10.05.21-31.03.22)	7,434	-	-	-		7,434
Cranney G (10.05.21-31.03.22)	7,434	-	-	-		7,434
Creevy R (10.05.21-31.03.22)	7,434	-	-	-		7,434
Elliott J (10.05.21-31.03.22)	7,434	-	-	-		7,434
Falconer A (10.05.21-31.03.22)	7,434	-	-	-		7,434
Feeney T (10.05.21-31.03.22)	7,434	-	-	-		7,434
Fleming T	8,330	7,076	-	-		15,406
Groves C (10.05.21-31.03.22)	7,434	-	-	-		7,434
Hall G G	8,330	1,388	-	-		9,718
Hamilton L (01.04.21-10.05.21)	918	-	-	-		918
Hargreaves P (10.05.21-31.03.22)	7,434	-	-	-		7,434
Harrison B	8,330	3,240	-	-		11,570
Howson H	7,948	-	-	-		7,948
Hunter D (01.04.21-10.05.21)	656	-	-	-		656
Jackson P (10.05.21-31.03.22)	7,434	-	-	-		7,434
James M A (01.04.21-10.05.21)	918	-	-	-		918
King K (01.04.21-10.05.21)	918	-	-	-		918
Lauderdale J (01.04.21-10.05.21)	918	-	-	-		918
Lindridge J	8,330	7,076	-	-		15,406
Little S	8,330	1,254	-	-		9,584
Loynes B (01.04.21-08.02.22)	7,140	7,140	-	-		14,280
Loynes D (10.05.21-31.03.22)	7,434	-	-	-		7,434
Marshall A (01.04.21-10.05.21)	918	-	-	-		918
Moore S (see Note 1)	8,330	24,990	-	-		33,320
Nicholson D (10.05.21-31.03.22)	7,434	-	-	-		7,434
Nicholson V (10.05.21-31.03.22)	7,434	-	-	-		7,434
Picton S (10.05.21-31.03.22)	7,434	-	-	-		7,434
Prince D (10.05.21-31.03.22)	7,434	-	-	-		7,434
Prince A	8,330	-	-	-		8,330
Richardson A (01.04.21-10.05.21)	656	-	-	-		656
Richardson C	6,428	-	-	-		6,428
Riddle J (10.05.21-31.03.22)	7,434	-	-	-		7,434
Smith L	8,330	1,907	-	-		10,237
Stokell C	8,330	7,076	-	-		15,406
Tennant J (01.04.21-10.05.21)	918	918	-	-		1,836
Thomas S (01.04.21-10.05.21)	918	-	-	-		918
Tiplady K (10.05.21-31.03.22)	7,434	-	-	-		7,434
Ward B (01.04.21-10.05.21)	918	-	-	-		918
Young M	8,330	8,330	-	-		16,660
Totals for 2021/22	290,845	90,262	-	-		381,107
Total 2020/21	245,414	92,093	-	-		337,507

There were 3 additional Councillors in 2021/22 in comparison to 2020/21.

Finance and Policy Committee

12th December 2022



Report of: Director of Resources and Development

Subject: COUNCIL TAX BASE 2023/24

1. TYPE OF DECISION / APPLICABLE CATEGORY

1.1 Non Key Decision.

2. PURPOSE OF REPORT

2.1 The report seeks member approval, as required by statutory regulations, of a calculated Council Tax Base for 2023/24 which will be used for Council Tax billing purposes.

3. BACKGROUND

3.1 The Council is required by law to calculate its Council Tax Base for the forthcoming year, and inform the major precepting authorities, Police and Crime Commissioner for Cleveland and Cleveland Fire Authority, and local precepting authorities (Parish Councils), before 31 January 2023. The Council Tax Base is expressed as the number of Band D equivalent properties.

3.2 The amount of Council Tax levied on each Band D property located in the Borough of Hartlepool is calculated by dividing the total amount of the precepts determined by this Council, the Police and Crime Commissioner for Cleveland and Cleveland Fire Authority on the Collection Fund in 2023/24, by the Council Tax Base. The amount of Council Tax payable for other bands is determined by applying a fixed proportion of the Band D amount. A separate report on the statutory calculation of the amount of Council Tax payable for each band for 2023/24 will be submitted to Council as part of the budget process.

3.3 Councils are required to determine and operate their own local schemes for providing support with Council Tax. Under these arrangements, there is a requirement to adjust the Council Tax Base to reflect the impact of the Local Council Tax Support scheme. Finance and Policy Committee on 18th September 2022 approved to recommend to Council the continuation of a 12% scheme for 2023/24. This proposal was approved by Council on 29th September 2022.

4. CALCULATION OF TAX BASE

4.1 The calculation of the Council Tax Base is a complex calculation and includes converting the numbers properties in the eight Council Tax Bands into a Band D equivalent. To complete the Tax Base it is necessary to:

- (a) Calculate Item A - "the relevant amount" for the year for each valuation band in the valuation list. For each band this represents the estimated full year equivalent of each chargeable dwelling in that band, taking into account entitlement to, exemptions, disability reductions, discounts, premiums and the forecast Local Council Tax Support.

The relevant amount for each band are expressed in terms of Band D equivalents and are set out at Appendix 1.

- (b) Calculate the collection rate for the Council (Item B).
- (c) The relevant amounts for each band (Item A) are then multiplied by the collection rate (Item B) to calculate the Tax Base.

4.2. The calculation for the parish Councils follows the same calculation as that of the billing authority except that for item A, the calculation only relates to the area covered by that Parish.

5. PROPOSED TAX BASE

5.1 The proposed Tax Base for the Council area for 2023/24 is **25,342**. This is an increase of 414 (**1.7%**) from the current base. The increase takes into account a proposed reduction in the budgeted collection rate to 98.5% reflecting the current economic conditions. The collection rate is for budget purposes only and any overachievement of this rate will manifest as a Collection Fund surplus and be retained by the Council and major preceptors. The forecasts includes a best estimate of the anticipated number of households eligible for LCTS, reflecting current year trends but allowing for an increase, again given prevailing economic conditions.

5.2 The Band D make-up of the base position is summarised in the table below, together with a comparison against previous year.

2022/23		2023/24
34,604	Chargeable Dwellings (after disregards / disability adjust)	34,983
-3,169	Less Discounts and Premiums	-3,290
-6,485	Less Local Council Tax Support Estimate	-6,185
230	Add forecast growth of chargeable dwellings	220
25,180	Item A	25,728
99.0%	Item B - Collectability (%)	98.5%
24,928	Council Tax Base	25,342

- 5.3 The proposed Council Tax Base has been reflected within the MTFS reported elsewhere on today's agenda.

6. RISK IMPLICATIONS

- 6.1. The Tax Base for 2023/24 and in the subsequent years is subject to the following main risks, all of which have been potentially increased given the prevailing economic conditions;

- The proposed council tax base includes a reduction in LCTS claimants. There is a potential risk this reduction may not materialise due to the economic uncertainty. This is mitigated by close monitoring of claimant numbers as well as consideration of economic forecasts for future years;
- Less growth in housebuilding. This is mitigated by understanding both developments in progress and planned developments in order to factor in the latest position in timing and value of house builds planned. Progress is monitored closely in year and over the Medium Term Financial Strategy period.
- Reduced collection rate. This risk has been mitigated by the reduction in budgeted collection rate to 98.5%. It is further mitigated by collection arrangements in place and regular management reporting to ensure that collection rate is maintained.

7. FINANCIAL CONSIDERATIONS

- 7.1. The Council must budget to avoid a deficit on its statutory Collection Fund. In determining the 2023/24 Council Tax Base a number of underlying assumptions have been made. As part of the Council's Financial Governance Framework, throughout 2023/24 programmed monitoring reviews of Collection Fund Council Tax performance will be undertaken and reported to Finance and Policy Committee.
- 7.2 Growth in the 2023/24 tax base had already been anticipated in the Medium Term Financial Strategy (MTFS). The actual tax base to be set is 114 higher than forecast and this will provide increased Council Tax income of £0.215m, which will help reduce the 2023/24 budget deficit. This additional recurring income is reflected in the updated MTFS report on the agenda.

8. LEGAL CONSIDERATIONS

- 8.1. To comply with statutory responsibilities as set out in the Local Government Finance Act 1992 the Council must determine the Council Tax Base for the forthcoming financial year by 31st January. This report ensures this responsibility is discharged.

9 CONSULTATION

9.1. There is no requirement to consult on these proposals.

10. OTHER CONSIDERATIONS

Child / Poverty considerations	No relevant issues
Equality and Diversity considerations	No relevant issues
Staff Considerations	No relevant issues
Asset Management considerations	No relevant issues
Environment, sustainability and climate change considerations	No relevant issues

14. RECOMMENDATIONS

14.1 It is recommended that Members:

- a) Approve a Hartlepool BC Council Tax Base for 2023/24 of 25,342 as detailed in Appendix 1.
- b) Approve a Council Tax Base for 2023/24 for Parishes who may levy a precept upon the Council's Collection Fund as follows:

Brierton	15.5	Hart	356.8
Claxton	14.9	Headland	773.1
Dalton Piercy	128.9	Newton Bewley	34.2
Elwick	240.1	Wynyard	856.3
Greatham	279.4		

15. REASON FOR RECOMMENDATIONS

15.1 To enable the Council to discharge its statutory responsibilities.

16. BACKGROUND PAPERS

16.1 There are no background papers.

17. CONTACT OFFICER

James Magog
 Assistant Director (Finance)
 01429 523093
James.magog@hartlepool.gov.uk

Sign Off:-

Chief Executive



Director of Resources and Development



Chief Solicitor



Council Tax Base - Hartlepool Borough Council

Appendix 1

	Band (A)	Band A	Band B	Band C	Band D	Band E	Band F	Band G	Band H	Total	Band D Equivalents
Chargeable Dwellings	129.00	23,283.00	7,434.00	6,340.00	3,379.00	1,819.00	814.00	612.00	87.00	43,897.00	34,983
Total Discount	(14.50)	(3,005.00)	(791.50)	(492.25)	(204.50)	(89.50)	(34.50)	(21.00)	(4.00)	(4,656.75)	(3,471)
Premium Factor	0.00	233.00	9.00	4.00	4.00	2.00	0.00	4.00	1.00	257.00	181
Council Tax Support Estimate	(38.38)	(7,212.46)	(1,125.19)	(360.68)	(95.02)	(34.06)	(11.98)	(3.41)	0.00	(8,881.18)	(6,185)
Net Forecast Chargeable Dwellings	76.12	13,298.54	5,526.31	5,491.07	3,083.48	1,697.44	767.52	591.59	84.00	30,616.07	25,508
Prescribed Proportions for each band	5/9	6/9	7/9	8/9	9/9	11/9	13/9	15/9	18/9		9/9
Band D Equivalent Properties	42.29	8,865.69	4,298.24	4,880.95	3,083.48	2,074.65	1,108.64	985.98	168.00	25,507.92	25,508
Band D Forecast Growth										220.00	220
Total Forecast Band D Equivalents - Item A										25,727.92	25,728
Estimated Collection Rate - Item B										98.5%	98.5%
Tax Base 2021/22										25,342.00	25,342

FINANCE AND POLICY COMMITTEE

12th December 2022



Report of: Director of Neighbourhoods and Regulatory Services

Subject: SEATON CAREW WAR MEMORIAL

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 Non-Key Decision.

2. PURPOSE OF REPORT

2.1 This report provides members with an update on the Seaton Carew War Memorial following a discussion at Full Council on 4th November 2021.

3. BACKGROUND

3.1 At Full Council on 4th November 2021, a Seaton Carew ward councillor highlighted the condition of the Seaton Carew War Memorial Site which they believed was in need of repair. Therefore it was agreed that this would be investigated further and update report provided as the legal position was complicated by the Council not owning the land on which the Memorial is located.

3.2 Initially it was assumed that an application to the Secretary of State would be required to enable remedial works to be carried out based on the land being defined as public open space.

3.3 When officers carried out more detailed investigations into the land ownership, this confirmed that the area on which the Seaton Carew War Memorial stands is not Council owned land. However further investigations also found that the land is unregistered and the ownership is therefore unknown. This meant that an application to the Secretary of State would not be required, although an application for adverse possession of the site to the Land Registry would be needed.

3.4 This piece of work also confirmed that the War Memorial has the status of a listed structure meaning any works which were more than just maintenance

would require planning permission and listed building consent because the setting of the listed building would potentially be impacted upon.

- 3.5 An inspection of the site was also carried out and neither the footpath, nor surrounding areas, required any repairs or remedial action.

4. PROPOSALS

- 4.1 It is proposed that the Council approach the Land Registry and seek to register the land as Council owned as we have maintained this site and the surrounding area for a number of years.
- 4.2 However it must be pointed out that there is no certainty that title will be given to the Council by the Land Registry and the situation could revert to that of the present time of unknown ownership.
- 4.3 It is also proposed that no further works are undertaken at the site as the area and environment around the structure appears to be generally in good order, which also includes the footpath, and these will be included within the Council's future highways maintenance inspection programme.

5. FINANCIAL CONSIDERATIONS

- 5.1 The Council have, for many years, cut and maintained the public green open space surrounding the Seaton Carew War Memorial, so formally registering the land as Council owned would not create any additional financial or resource pressures.
- 5.2 However the legal process in registering the land will require staff resource and statutory land registry fee of £30.00 to progress.
- 5.3 While the War Memorial and surrounding areas are currently in a good condition based on a recent inspection, the visit did highlight that repairs will be needed at some point in the near future. The estimated costs of those works are approximately £15,000. There is currently no budget provision for this and work will have to be done to identify a source of funding before any works can be undertaken.
- 5.4 Revenue costs in relation to the maintenance of the War Memorial can be absorbed within the existing maintenance provision in the area.

6. LEGAL CONSIDERATIONS

- 6.1 There is a legal process which the Council will need to follow in formally registering the land as Council owned.

7. RISK IMPLICATIONS

- 7.1 There is a risk that someone may come forward during the land registration process and declare the site to be owned by them, or that the Land Registry revert to that of the present time of unknown ownership.

8. ASSET MANAGEMENT CONSIDERATIONS

- 8.1 If the application to register the land is successful, then this will be added Council's assets database and any works will be undertaken in accordance with our routine inspection programme, or whenever any urgent works are required.

9. OTHER CONSIDERATIONS

Consultation	No relevant issues
Child/Family Poverty Considerations	No relevant issues
Equality and Diversity Considerations	No relevant issues
Section 17 of The Crime And Disorder Act 1998 Considerations	No relevant issues
Staff Considerations	No relevant issues
Environment, Sustainability and Climate Change Considerations	No relevant issues

10. RECOMMENDATIONS

- 10.1 That Members approve the Council approaching the Land Registry to register the land as Council owned.

11. REASONS FOR RECOMMENDATIONS

- 11.1 This will ensure that the War Memorial and the surrounding land becomes part of the Council's asset register.

12. BACKGROUND PAPERS

- 12.1 None

13. CONTACT OFFICERS

Tony Hanson
Director of Neighbourhoods and Regulatory Services
Civic Centre
Victoria Road
Hartlepool
TS24 8AY
Email tony.hanson@hartlepool.gov.uk
Tel: 01429 523300

Sign Off:-

- Managing Director ☒
- Director of Resources and Development ☒
- Chief Solicitor ☒

FINANCE AND POLICY COMMITTEE

12th December 2022



Report of: Director of Resources and Development

Subject: STRATEGIC FINANCIAL MANAGEMENT REPORT -
AS AT 30th September 2022

1. TYPE OF DECISION/APPLICABLE CATEGORY

1.1 For information.

2. PURPOSE OF REPORT

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

- i) 2022/23 Forecast General Fund Outturn;
- ii) Corporate Income Collection Performance; and
- iii) 2022/23 Capital Programme Monitoring.

3. BACKGROUND AND FINANCIAL OUTLOOK

3.1 The first quarter position report highlighted the emerging inflationary pressures that are impacting on the Council's budget. These pressures continue to exert a large degree of uncertainty on both the revenue and capital budgets and are anticipated to worsen. The MTFS report elsewhere on today's agenda sets out the on-going position.

3.2 The latest CPI inflation figure for September 2022 was a year on year 10.1% increase. The Bank of England is responding to these inflationary pressures by increasing the bank base rate. It was increased by 0.75 percentage points on 3 November, the eighth recorded rise since December 2021. The current base rate is 3%.

3.3 The "mini budget" held on 23 September was accompanied by volatility in the financial markets and concern around government borrowing requirements. This led to a fall in the value of the pound (so increasing import costs) and raising future borrowing cost forecasts. The Chancellor will announce his medium term fiscal plan on the 17 November.

3.4 Despite this additional volatility, the government plan to limit energy bills, together with signs that oil and food prices have fallen from the peaks they hit

following the invasion of Ukraine, has led to a consensus that inflation will likely peak lower and sooner than anticipated a number of months ago.

- 3.5 Against this backdrop a significant degree of uncertainty remains and some of the inflationary costs will flow through later in the financial year or indeed into 2023/24. In addition to the pressure on our direct costs, the wider economic impact of inflation is likely to lead to an increased demand on our services as well as a likely detrimental impact on our fees and charges income and Council Tax and Business Rate collection.
- 3.6 Officers continue to seek to mitigate the impact as far as possible. As the year progresses, greater certainty of the inflationary impact and our mitigation action will become clearer and be reported to Finance and Policy Committee as part of the third review.

Energy

- 3.7 Wholesale energy prices have fallen in recent months due to higher than expected UK and EU storage levels and strong LNG flows. The Department for Business, Energy and Industrial Strategy (BEIS) have recently announced the 'Energy Bill Relief Scheme' designed to provide support for businesses and other non-domestic customers for the 6 month period 1st October 2022 to 31st March 2023. Local Authorities are included within this scheme.
- 3.8 As part of the MTFS, the Council established an energy cost reserve at year end as part of a twofold strategy for increasing the revenue budget for anticipated long term prices and use of this reserve for the shorter term spike. This foresight has protected the Council in the current year. The impact of the recent announcements on the reserve and future budgets is addressed within the MTFS position.

National Pay Award

- 3.9 The National Employers Organisation has made a flat rate pay offer of £1,925 per employee. This offer proposes an increase in excess of 10% for lower graded staff, with the percentage increase reducing the higher up the pay scales. This equates to a blended rate of just over 7% increase in the pay bill. The cost to the Council is exacerbated by the potential need to fund traded areas whereby this cost would be difficult to absorb in the short term. It is anticipated that the pay bill of the Council will increase by £2m over the budgeted position. In addition the offer included an additional day's holiday for staff from April 2023. The offer has now been accepted by the Trade Unions and will be implemented by the Council in this month's pay run.
- 3.10 As part of the "mini-budget" the Chancellor confirmed the reversal of the 1.25% National Insurance increase which was introduced by Government in July 2022. The reversal will be for both the employee and employer elements of national insurance and will take effect from 6th November 2022. The in year saving impact of this change for the Council is estimated to be £0.260m.

Covid-19 Pandemic

- 3.11 Work is on-going to sign off all Covid-19 related grant schemes, including the business support grants. No issues are envisaged. At this stage in the financial year Covid-19 is not having a material impact on the budget, albeit with regard to fees and charges there is a degree of hesitancy still for some of these services, which is having a budgetary impact in certain areas. The position will be kept under review as we head into the autumn and winter where a re-emergence may occur.

Government Support

- 3.12 With the exception of the Energy Bill Relief Scheme and the reversal of the National Insurance increase, the government has indicated that there will be no additional funding to support Local Authorities during 2022/2023 to mitigate the inflationary increases being incurred. The Council, through the likes of the Association of North East Councils (ANEC) continues to make the case for such support.

4. 2022/23 FORECAST GENERAL FUND OUTTURN

- 4.1 The current forecast outturn position is summarised below and shows a forecast outturn of £1.369m after use of earmarked reserves. This will have to be funded from the Budget Support Fund, which will reduce one off resources available to support future budgets and reduce financial resilience. The position is detailed on Appendices A to D, with further detail set out below,

Q1 Forecast Outturn - Overspend/ (Underspend)		Q2 Forecast Outturn - Overspend/ (Underspend)
£'000		£'000
(500)	Departmental Budgets	(610)
1,375	Adult & Community Based Services	1,144
476	Children's & Joint Commissioning	675
25	Neighbourhoods & Regulatory Services	35
304	Resources & Development	65
	Corporate	
1,680	Total Departmental Forecast Budget	1,309
0	Overspend	(260)
2,000	NI Saving	2,000
3,680	Total Overspend	3,049
(680)	Use of Income Reserve	(680)
(1,000)	Use of Inflation Reserve	(1,000)
2,000	Outstanding Gap	1,369

Adult and Community Based Services

- 4.2 The forecast outturn reflects some of the proposed 2023/24 savings being achieved in the current financial year, one-off DHSC grant funding, current packages of adult social care costs and current income projections for community based facilities. However, it is still early in the year, with the winter period to come where uncertainties remain around the level of demand for adult social care provision and any potential impact of Covid-19.

Children and Joint Commissioning Services

- 4.3 The forecast outturn mainly relates to an increase in the number of children in our care requiring residential placements, reflecting the increasing complexity of their needs and the significant fees being charged by the external care market. The forecast outturn does exclude a specific high cost placement of a child in our care which the Council will jointly fund with health until July 2025 when the child turns 18. The cost will be funded on a one off basis with work on-going to determine the on-going funding requirements. In the current year this will be funded from the £1m Children In Our Care Reserve with the funding in future years to be funded from the reserve review. The outcome of the reserve review will be reported to a future meeting. After reflecting this funding strategy the forecast overspend reflects an increase in the number of children cared for by the Council with complex needs.

Neighbourhoods and Regulatory Services

- 4.4 The current forecast outturn for the department is an overspend of £0.675m. This is predominantly as a result of a number of factors including inflationary pressures on goods, materials and fuel and shortfalls in fee income. There is also a £200k adverse variance in the passenger transport service. This reflects a number of issues including an increase in demand led SEND referrals, which require out of town transport and inflationary pressures in relation to fuel and cost of external provision. However, adverse variances are partly offset by forecast one-off savings in relation to Sustainable Transport and an anticipated over achievement of the salary abatement target from vacant posts.

Resources and Development (inc Legal)

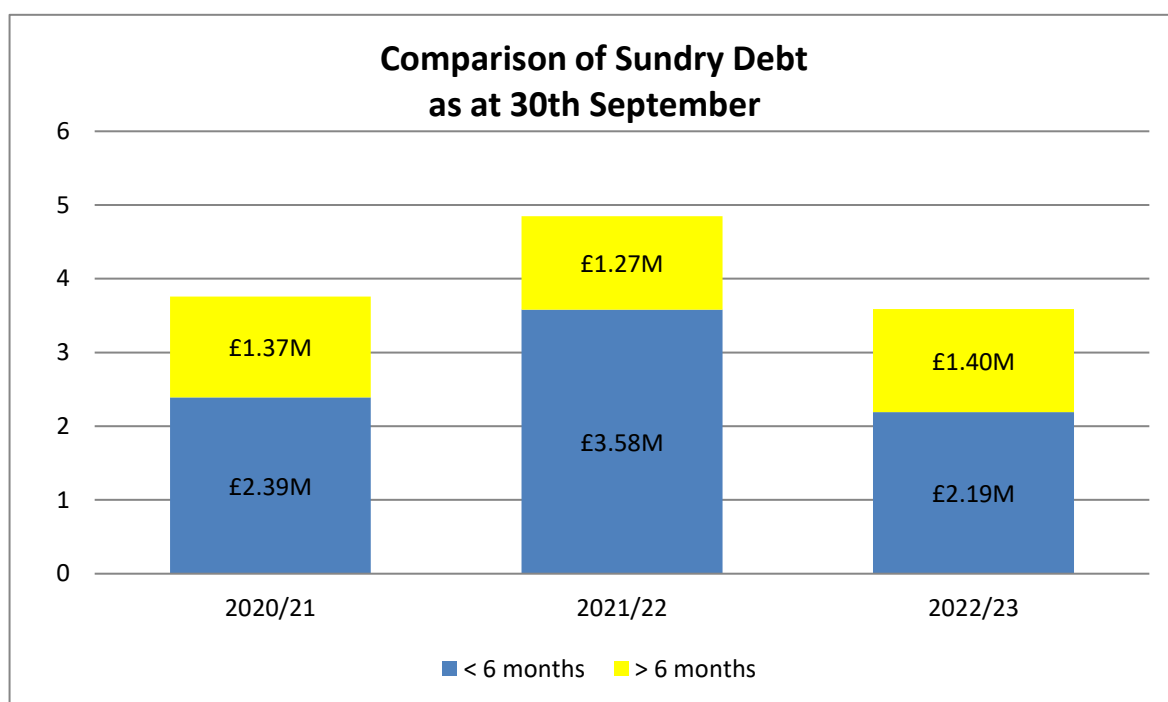
- 4.5 The forecast outturn is an overspend of £0.035m. This is predominantly owing to a reduction in income partly offset with favourable variances from staffing vacancies and staff not being at the top of their grade.

Corporate

- 4.6 The corporate budget is showing an overspend of £0.065m. This reflects the projected inflationary pressures on key contracts and the MRP saving from the delay in the commencement of the Waterfront Leisure Centre – Highlight. This saving had been previously earmarked for a capital contingency to cover inflationary pressures on the project. However, owing to the current financial position the saving of £0.266m has been reflected in the outturn position.

5. SUNDRY DEBTS

- 5.1 The Council also collects significant Sundry Debts income for the payment of services provided by the Council. In total £17.3m sundry debts were raised in the first six months of 2022/23. As at 30th September 2022, £16.3m (94%) of this amount had been collected.
- 5.2 Robust procedures for collecting the remaining outstanding debt are in place. The following graph shows the comparable positions at 30th September for the last three years for long term debt and current debt which has been outstanding for less than six months.



- 5.3 Debtors totalled £3.59m as at 30th September 2022, of which £2.19m (61.0%) relates to current debts (less than 6 months old).
- 5.4 Included within current debts (less than 6 months old) is debt where the customer has been invoiced for the whole of 2022/23 but payment is to be received in instalments throughout the year.
- 5.5 Debts greater than 6 months old total £1.40m. 96.4% (£1.35m) of this amount is under recovery action and 3.6% (£0.05m) is now considered unrecoverable.

6. COLLECTION FUND

Business Rates

- 6.1 The government has continued to support businesses into 2022/23 in response to the Covid-19 pandemic with extended Retail, Hospitality and Leisure reliefs in place for the year. This relief results in a significant reduction in collectable business rates, but with full compensation by Government via a Section 31 grant.

- 6.2 At the 30th September 2022 the Council had collected 55.59% of the 2022/23 liability. This represents a strong comparable position at this stage of the year, however, direct comparisons are difficult owing to the variable reliefs in place since the start of the pandemic.
- 6.3 The position continues to be closely monitored for signs of financial stress in the business sector as we head into the winter months with associated high energy usage. An update will be provided at third review.

Council Tax

- 6.4 Whilst collection figures for Council Tax are showing recovery from the pandemic particularly with regard to arrears collection, performance to date has been impacted by the £150 Energy Rebate scheme. In addition to the significant staffing resource impact, reminder and enforcement activity were suspended until August in order to prioritise distribution of the rebate.
- 6.5 As at the 30th September 2022 the Council had collected 52.25% of the 2022/23 liability, compared to 51.73% for the previous year. The position has, to an extent, been impacted by the offsetting of £150 against a number of Council Tax accounts.
- 6.6 As Cost of Living issues increase, there will likely be an increase in the number of households eligible for LCTS. This will be closely monitored against the Tax Base assumptions. As at the end of September 2022 the caseload remained steady at 13,227 of which 8,688 were working age.
- 6.7 The position is being closely monitored for signs of financial stress within households and an update will be provided at third review.

7. 2022/23 CAPITAL PROGRAMME MONITORING

- 7.1 Capital Expenditure to the 30th September 2022 is summarised in the table below. Major regeneration schemes have been removed from departmental appendices and are now summarised on a separate line in the table below with the detail in Appendix E.
- 7.2 The Full Budget by scheme has been included on the individual appendices with a summary in Column A in the table below. This budget reflects the budget over the life time of the project not just the current financial year, which is shown in Column B.

7.3 Individual schemes are detailed on Appendices E to J.

Department	A	B	C	D	E	F	G
	Full Budget	2022/23 Budget	2022/23 Actual as at 30/09/22	2022/23 Expenditure Remaining	Expenditure Rephased into 2023/24	(C+D+E) Total Expenditure	(F-B) Variance from Budget
	£'000	£'000	£'000	£'000	£'000	£'000	£'000
Major Regeneration Schemes	75,944	8,423	3,844	4,579	0	8,423	0
Adult & Community Based Services	5,418	4,423	1,035	2,171	1,217	4,423	0
Children's & Joint Commissioning Services	8,650	8,379	112	6,203	2,064	8,379	0
Neighbourhoods & Regulatory Services	19,139	15,194	2,260	5,383	7,551	15,194	0
Resources & Development	2,578	1,559	2	1,527	30	1,559	0
Corporate	1,869	1,830	625	1,205	0	1,830	0
Total Capital Expenditure	113,598	39,808	7,878	21,068	10,862	39,808	0

7.4 Capital expenditure to 30th September 2022 was £7.878m, compared to a 2022/23 budget of £39.808m, £10.862m has been rephased to 2023/24 leaving £21.068m to be spent during the remainder of 2022/23. 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:

- Adult & Community Based Services rephased expenditure relates to schemes where either detailed proposals are still being finalised (eg. Carlton and Allotments) or where the schemes have 'slipped' and will not be completed by March 2023 (eg. Crematorium and Disabled Persons Adaptations).
- Children's and Joint Commissioning Services rephased expenditure mainly relates to the building of the new START Drugs Rehabilitation Centre which will be completed in 2023/24.
- Neighbourhoods and Regulatory Services mainly relates to vehicle purchases rephased by £6.306m as a result of both planned and unplanned factors. The planned deferral of some vehicles replacements is optimised to maximise the useful life of existing vehicles. The unplanned rephasing of some new vehicles is the result of supply chain issues post pandemic.

7.5 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.

7.6 As with revenue, the capital programme is anticipated to come under pressure from the current inflationary pressures. These will materialise at different stages in the year as individual projects progress, albeit officers will seek to mitigate as far as possible. Any impact will be provided at future updates later in the year.

Section 106 Developers Contributions

7.7 The level of contributions for housing and non - housing service areas as at 30th September 2022 is included in Appendix K.

Capital Receipts Target

- 7.8 The Council previously set a capital receipt target to provide funding to offset the removal of HMR (Housing Market Renewal) funding in 2011. Owing to the challenging economic conditions over the last few years these capital receipts have taken significantly longer to achieve than initially anticipated. As at 31 March 2022 the remaining target was £0.524m.
- 7.9 Officers are progressing a number of land sales expected to be completed in the current financial year, however the remaining target will not be fully achieved until the completion of the sale of land at Hart, currently expected to be achieved this financial year. This will mean capital receipts will exceed the previously set target by £0.790m. This amount will be held in the earmarked Capital Funding Reserve as a capital contingency until contracts are awarded for the major approved capital projects, and the position on external funding is clearer.

8. SUCCESSFUL GRANT BIDS

- 8.1 The Council has recently been successful in securing an additional £0.405m funding from the Department for Business, Energy & Industrial Strategy (BEIS) to deliver energy efficiency works to private sector properties. This is in addition to £1.865m sustainable warmth funding previously secured from BEIS.
- 8.2 In partnership with the Hartlepool Licensees Association and Hartlepool Pastors, the Council has also successfully secured £0.030m from the Cleveland Unit for the Reduction of Violence (CURV) Serious Crime Fund via the Office of the PCC for Cleveland. The purpose of the funding is to reduce violence in the night time economy with an emphasis on knife crime. Funding will be used to provide knife amnesty bins, equipment and first aid supplies for Street Pastors, hand held metal detector wands for door staff, bleed control kits for every licensed premise, and training for door staff and licensed premises staff with regard to their roles and responsibilities.
- 8.3 The Council has been successful in securing £1.567m of funding from TVCA (via the UK Shared Prosperity Fund) as the lead authority in a joint Tees Valley bid alongside the other 4 TV LA's. The grant relates to the 'Multiply Programme – Community Led' which will be managed by the Council's Adult Education service with the aim of increasing numeracy skills in adults across the region focusing on those economically inactive, with a disability/health problem or from the BAME community. The funding is for the period 1st December 2022 to 31st March 2025 and will be split between the 5 TV LA's on a pre-agreed percentage split. Hartlepool will receive c£0.260m.

9. CONCLUSION

- 9.1 The forecasts in this report are based on the emerging position for the first six months of this financial year. Given the inflationary environment and associated uncertainty, the current outturn position needs to be treated with a degree of

caution. There is a risk the in-year overspend may increase. The position is being closely monitored and an update will be provided at the third review.

- 9.2 All efforts are being made to mitigate the position. However, an overspend is forecast at year end and will require funding from the Budget Support Fund. This underlines the impact of inflation and the national pay award for 2022/23. These factors will continue to impact in 2023/24 and 2024/25 as detailed in a MTFS report on the agenda.

10. FINANCIAL CONSIDERATIONS

- 10.1 The financial implications are fully set out in the main body of the report.

11. OTHER CONSIDERATIONS

Risk Implications	No relevant issues
Legal Considerations	No relevant issues
Consultation	No relevant issues
Child and Family Poverty considerations	No relevant issues
Equality and Diversity considerations	No relevant issues
Staff Considerations	No relevant issues
Asset Management considerations	No relevant issues
Environment, sustainability and climate change considerations	No relevant issues

12. RECOMMENDATIONS

- 12.1 Members note the report.
- 12.2 Note that at the meeting on 21st November 2022 the Committee formally acceptance of the grants detailed at paragraph 8.3.

13. REASONS FOR RECOMMENDATIONS

- 13.1 To keep Finance and Policy Committee updated on the Council's 2022/23 financial position.

14. BACKGROUND PAPERS

None.

15. CONTACT OFFICER

Chris Little
 Director of Resources and Development
 Email: chris.little@hartlepool.gov.uk
 Contact: 01429 523002

Sign Off:-

Managing Director



Director of Policy and Finance



Chief Solicitor



REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2022/23 as at 30 September 2022

Approved 2022/23 Budget £'000	Description of Service Area	Actual Adverse/ (Favourable) £'000	Director's Explanation of Variance
(16)	Benefits	(15)	Favourable variance owing to vacant posts and reduced working hours.
(1,006)	Central Administration Recharges	0	
139	Communications and Marketing	55	The adverse variance is owing to a reduction in income generation.
1,023	Corporate Finance	(155)	Favourable variance owing to vacant posts, posts not being at the top of the grade and some supplies and services savings, this is partly offset by a reduction in income generation.
590	Corporate Strategy & Public Consultation	(60)	Favourable variance owing to a part year vacant post and reduced working hours.
(143)	Council Tax & Housing Benefits Subsidy	100	The grant generates £24m in subsidy, but the grant is reducing along with the current transfer rate of claimants across to Universal Credit. The anticipated variance is based on the Mid Year Review, submitted to DWP.
983	Customer and Support Services	(40)	Favourable variance owing to posts not being at the top of the grade.
325	Economic Regeneration	0	
536	Human Resources & Health and Safety	70	The adverse variance is owing to a reduction in income generation.
243	Internal Audit	10	The adverse variance is owing to additional supplies and services costs.
(138)	Registration Services	20	The adverse variance is owing to a reduction in income generation on both birth and death registration resulting from services being transferred to North Tees Hospital.
1,062	Revenues	(45)	Favourable variance owing to vacant posts and reduced working hours.
(669)	Revenue & Benefits Central	100	An adverse variance on Court Costs collected.
548	Shared Services	(30)	The favourable variance is owing to vacant posts, and some posts not being at the top of the grade.
(98)	Strategic Asset Management	100	Mainly relates to adverse variance for fee income owing to timing of capital receipts and reduction in leasing income, owing to lets not being renewed.
148	Strategic Development and Sustainability	0	
0	Strategic Management and Admin	0	
4	Training & Equality	0	
391	Corporate Management Running Expenses	(45)	The favourable variance is owing to vacant posts and savings on the Corporate Subscriptions budget.
3,922	Resources & Development	65	
41	Civic Attendants	0	
163	Democratic	0	
564	Legal Services	20	The adverse variance is owing to a reduction in income generation.
165	Municipal Elections and Registration of Electors	15	The adverse variance is owing to additional by-elections.
(4)	Other Office Services	0	
68	Procurement	(55)	Favourable variance owing to a vacant post.
(87)	Reprographics	0	
97	Scrutiny	(10)	Favourable variance owing to a part year vacant post.
131	Support to Members	0	
1,138	Legal	(30)	
5,060	Resources & Development and Legal Total	35	

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2022/23 as at 30 September 2022

Approved 2022/23 Budget £'000	Description of Service Area	Actual Adverse/ (Favourable) £'000	Director's Explanation of Variance
134	Access to Education	0	
172	Central Support Services	0	
20,886	Children and Families	1,670	Mainly relates to residential placements for children in our care.
1,704	Early Intervention	(550)	Mainly relates to one-off grant funding and some incremental drift staff savings.
487	Other School Related Expenditure	(4)	Minor savings on premature retirement costs.
2	Play & Care	50	Historic income pressures.
355	Raising Educational Achievement	(14)	Additional one off grant received and staff vacancies.
325	Special Needs Services	42	The adverse pressure is linked to school buybacks.
296	Standards, Engagement & Development	(10)	Underspend against supplies and services budgets.
1,245	Strategic Commissioning	0	
417	Strategic Management	3	The adverse pressure is linked to school buybacks for the Governor Support service.
288	Youth Justice Service	0	
324	Youth Service	(43)	Favourable variance owing to staff vacancies.
26,635	Children's and Joint Commissioning Services	1,144	
Public Health Grant			
4,000	Children's Services	0	
2,501	Substance Misuse Services	(100)	The underspend mainly relates to staff vacancies which have now been filled.
1,483	General Public Health Support Services	0	
693	Sexual Health Services	0	
302	Physical Activity	0	
170	Mental Health	0	
112	Health Checks	0	
100	Obesity	0	
(9,361)	Public Health Grant	0	
0	Contribution to Ring-Fenced Public Health Reserve	100	Any over or under-spend is funded from, or contributes to, the ring-fenced Public Health grant reserve.
0	Public Health Grant	0	
26,635	Children's and Joint Commissioning Services Total (inc Public Health Grant)	1,144	

MEMO:-	Dedicated Schools Grant	Actual Adverse/ (Favourable)	Director's Explanation of Variance
	Early Years Block	(192)	Reduced spend against the Disability Access Fund and contingency funding for 3 to 4 year old provision unlikely to be required.
	High Needs Block	303	The financial pressure is largely linked to the cost and volume of independent school places for pupils with complex SEND.
	Schools Block	0	Spend is expected to align with budget.
0	TOTAL Dedicated Schools Grant	111	

ADULT & COMMUNITY BASED SERVICES

7.1 Appendix C

REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2022/23 as at 30 September 2022

Approved 2022/23 Budget £'000	Description of Service Area	Actual Adverse/ (Favourable) £'000	Director's Explanation of Variance
51	Adult Education	0	
20	Archaeology	5	
3	Carers & Assistive Technology	0	
(193)	Coast, Countryside & Heritage	20	Mainly relates to a combination of increased energy costs and maintenance works.
2,371	Commissioning - Adults	(180)	Mainly relates to the receipt of 'one-off' grant funding from the Department for Health and Social Care.
1,232	Community Hubs	160	Historic savings target from proposed closure of Seaton Library which was not actioned, combined with reduced income from room hire across all sites, including the CECA.
718	Cultural Services	110	Income pressures across the service including historic income pressures; Still early in the year and post-Covid 19 recovery so income will be closely monitored and updated as the year progresses.
(216)	Departmental Running Costs	0	2022/23 budget includes the annual departmental salary abatement target which will be achieved by the end of the year.
551	Direct Care & Support Team	(10)	
0	Employment & Skills	0	
76	General Allotments	(10)	
647	LD & Transition Social Work	0	
2,301	Locality & Safeguarding Team	0	Post vacancies and incremental drift have contributed to the annual departmental salary abatement target.
1,104	Mental Health Services	0	
1,416	OT & Disability Equipment	(100)	Projection based on activity and demand for OT equipment over the last couple of years which has been lower than historically as a result of Covid 19; Will be closely monitored and updated as the year progresses.
1,651	Packages of Care - Mental Health	(200)	
11,792	Packages of Care - Older People	(125)	Packages of Care forecast outturns are based on current projections however it is still early in the year with the winter period still to come so these projections will be closely monitored and updated as the year progresses.
10,238	Packages of Care - Working Age Adults	(250)	
558	Sports, Leisure & Recreation Facilities	60	Income pressures across Leisure Centres and other services including historic income pressures. Still early in the year and post-Covid 19 recovery, so income will be closely monitored and updated as the year progresses.
1,201	Working Age Adult Day Services	(90)	Mainly relates to reduced transport and supplies and services costs.
35,521	Adult & Community Based Services Total	(610)	

NEIGHBOURHOODS & REGULATORY SERVICES
7.1 Appendix D
REVENUE FINANCIAL MONITORING REPORT FOR FINANCIAL YEAR 2022/23 as at 30 September 2022

Approved 2022/23 Budget £'000	Description of Service Area	Actual Adverse/ (Favourable) £'000	Director's Explanation of Variance
(208)	Building Team Design	115	The forecast adverse variance relates to a shortfall in fees. However this position is improving in comparison to prior years.
(903)	Car Parking & Enforcement	0	
966	Community Safety & Engagement	(50)	Various non-staff savings including mileage.
(50)	Construction Team	250	Adverse variance is predominantly as a result of inflationary pressures and staff vacancies adversely impacting overhead recovery.
325	Engineering Services (incl Coastal Protection and Contaminated Land)	0	
1,093	Facilities Management	325	Reflects inflationary pressures in relation to food costs and lower uptake of meals compared to pre-covid activity. Includes mitigation from 10p price rise per meal from September.
2,868	Environmental Services	0	
(305)	Highways Trading	100	Adverse variance is predominantly as a result of inflationary pressures adversely impacting overhead recovery.
2,704	Highways Maintenance & Transportation	200	Adverse variance is predominantly as a result of inflationary pressures and a back log of works is currently being undertaken to meet relevant standards.
1,619	Passenger Transport	200	The adverse variance reflects a number of issues including an increase in SEND referrals, which require out of town transport, inflationary pressures in relation to fuel and cost of external provision. There is currently a national shortage of qualified drivers owing to new licence requirements, which has meant external operators are having to pay more to attract and retain staff. There are also cost pressures as a result of supply chain delays for new vehicles and shortage of adapted vehicles available to purchase.
905	Public Protection	45	There is an anticipate shortfall of License Fee income owing to a reduction in demand as a consequence of the Covid 19 pandemic. A corporate reserve was established in 2021/22 in response to income risks.
138	Road Safety	0	
938	Street Lighting	180	Predominantly reflects pressures in relation to maintenance, however work is ongoing to mitigate this adverse variance in relation to maintenance activity.
2,413	Sustainable Transport	(700)	Favourable variance relates to favourable negotiations with operators.
(83)	Vehicle Fleet	0	
5,400	Waste & Environmental Services	90	Adverse variance reflects Energy from Waste Facility shutdown however this is largely offset by increased income in relation to recycling.
269	Planning & Development	20	Adverse variance relates to income shortfalls in relation to building control.
375	Strategic Management & Admin	(100)	Reflects forecast favourable variance in relation to salary abatement as a result of vacant posts.
18,464	Neighbourhoods & Regulatory Services Total	675	

MAJOR REGENERATION SCHEMES

7.1 APPENDIX E

CAPITAL MONITORING REPORT PERIOD ENDING 30th September 2022

Project Code	Scheme Title	A Full Budget £'000	B 2022/23 Budget £'000	C 2022/23 Actual as at 30/09/22 £'000	D 2022/23 Expenditure Remaining £'000	E Expenditure Rephased into 2023/24 £'000	F (C+D+E) Total Expenditure £'000	G (F-B) Variance from Budget £'000	Type of Financing	2022/23 COMMENTS
Neighbourhoods & Regulatory										
8958	Elwick By-Pass Growing Places	11,825	210	10	200	0	210	0	MIX	Profile reflects ongoing negotiations in relation to land purchases.
Adult & Community Based Services										
7550	CIP - Waterfront Leisure Centre (Highlight)	19,394	233	13	220	0	233	0	MIX	Rephased expenditure reflects the expected profile per the Business Case.
NEW	CIP - Waterfront Public Realm	2,000	0	0	0	0	0	0	GRANT	
7551	CIP - Waterfront Infrastructure	2,256	168	158	10	0	168	0	MIX	
9101	CIP - Borough Hall Improvement	3,000	200	0	200	0	200	0	MIX	
Resources & Development										
9159	CIP - Wingfield Castle works	4,000	253	13	240	0	253	0	MIX	
9161	CIP - NMRN & Museum of Hartlepool	8,500	3,650	3,650	0	0	3,650	0	MIX	
New	Towns Fund - Middleton Grange	13,869	2,509	0	2,509	0	2,509	0	GRANT	These schemes have now received final business case approval from the DLUHC.
New	Towns Fund - Waterfront Connectivity	6,200	700	0	700	0	700	0	GRANT	
New	Towns Fund - Wesley Chapel	1,400	0	0	0	0	0	0	GRANT	
New	Towns Fund - Health and Care Academy	1,250	250	0	250	0	250	0	GRANT	
New	Towns Fund - Civil Academy	2,250	250	0	250	0	250	0	GRANT	
Major Regeneration Schemes		75,944	8,423	3,844	4,579	0	8,423	0		

Key

RCCO Revenue Contribution towards Capital
MIX Combination of Funding Types

GRANT Grant Funded
CAP REC Capital Receipt

UCPB Unsupported Corporate Prudential Borrowing
SCE Supported Capital Expenditure (Revenue)

UDPB Unsupported Departmental Prudential Borrowing
CORP Corporate Resources

ADULT & COMMUNITY BASED SERVICES

7.1 APPENDIX F

CAPITAL MONITORING REPORT PERIOD ENDING 30th September 2022

Project Code	Scheme Title	A Full Budget £'000	B 2022/23 Budget £'000	C 2022/23 Actual as at 30/09/22 £'000	D 2022/23 Expenditure Remaining £'000	E Expenditure Rephased into 2023/24 £'000	F (C+D+E) Total Expenditure £'000	G (F-B) Variance from Budget £'000	Type of Financing	2022/23 COMMENTS
Adult & Community Based Services										
7212	Capital Grants to Residential/Nursing Care Homes	149	149	17	80	52	149	0	UCPB	Expect majority of budget to be rephased for future use.
7234	Chronically Sick and Disabled Persons Adaptations	127	127	8	39	80	127	0	MIX	Expect majority of budget to be rephased for future use.
7218	Disabled Facilities Grant	1,663	1,663	580	1,083	0	1,663	0	GRANT	Potential in-year underspend as £441k was carried forward from 2021/22 owing to the impact of COVID restrictions.
7348	Art Gallery	10	10	0	10	0	10	0	GRANT	Grant funding from 'Tees Valley Museums' - project to be completed by March 2023
7483	Reinstate 3G Pitch	188	8	0	8	0	8	0	MIX	Retention outstanding.
7483	Grayfields Asset Transfer	100	100	0	0	100	100	0	RCCO	
7522	Stranton Cemetery Flood Alleviation	600	240	98	142	0	240	0	UDPB	
7543	Waverley Allotments (Terrace Car Park)	21	12	0	12	0	12	0	RCCO	
7576	Seascapes - Seaton High & Lowlight	10	9	9	0	0	9	0	GRANT	Expect to complete in 2022/23
7711	Carlton Adventure Centre	400	400	0	0	400	400	0	MIX	Details of scheme to be finalised.
7811	Summerhill Cycle Hub	514	166	125	41	0	166	0	MIX	Final grant claim & retention outstanding.
7831	Community Hub South - Internal Alterations	88	11	0	11	0	11	0	MIX	
7990	Boer War Statue - Ward Jackson Park	25	19	18	1	0	19	0	RCCO	Scheme will complete in 2022/23
8103	Swimming Scheme	35	35	0	0	35	35	0	RCCO	Amounts set aside for equipment purchase, no planned expenditure for 2022/23
8108	Centre for Independent Living	146	146	0	0	146	146	0	RCCO	No planned expenditure for 2022/23
8393	Stranton Cemetery Cremators	255	255	176	79	0	255	0	MIX	
8408	Mill House - Equipment Purchase	3	3	0	3	0	3	0	RCCO	
8409	Sport & Youth Improvements	12	12	0	12	0	12	0	MIX	To be used as match funding in future grant bid for work required at Carlton.
8088	Community Hub South - Owton CC	41	41	1	40	0	41	0	RCCO	Proposed work - waiting cost estimates.
8088	Central / Community Hub Central - Ground Floor Internal Alterations	27	27	0	27	0	27	0	RCCO	Creation of two additional meeting rooms - cost to be confirmed.
8534	Church Street Townscape Heritage Project	231	231	0	231	0	231	0	GRANT	
8634	Playing Pitches - Football Foundation	5	5	0	5	0	5	0	CAP REC	Being reviewed.
8689	Brierton Sports Fields	1	1	0	1	0	1	0	MIX	
8896	Brierton Tennis Courts	30	30	0	30	0	30	0	CAP REC	Review of sports facilities to be undertaken.
Allot	Other Allotment Schemes	243	236	2	70	164	236	0	UDPB	Detailed schemes to be confirmed.
CR	Crematorium refurbishment	494	487	1	246	240	487	0	MIX	Scheme delayed. Expect to commence by January 2023 and complete scheme in 2023/24
Total Adult & Community Based Services		5,418	4,423	1,035	2,171	1,217	4,423	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

CHILDREN'S AND JOINT COMMISSIONING SERVICES

7.1 APPENDIX G

CAPITAL MONITORING REPORT PERIOD ENDING 30th September 2022

Project Code	Scheme Title	A Full Budget £'000	B 2022/23 Budget £'000	C 2022/23 Actual as at 30/09/22 £'000	D 2022/23 Expenditure Remaining £'000	E Expenditure Rephased into 2023/24 £'000	F (C+D+E) Total Expenditure £'000	G (F-B) Variance from Budget £'000	Type of Financing	2022/23 COMMENTS
Children's and Joint Commissioning Services										
7384	Devolved Schools Capital	247	247	19	228	0	247	0	GRANT	Includes £123k 2022/23 allocation.
7586	Purchase of Computer Equipment - CLC Standards Fund	37	37	0	37	0	37	0	RCCO	
7355	CECA IT Infrastructure and Technology	42	42	18	24	0	42	0	GRANT	
7355	CECA TVCA Grant Unallocated	31	31	0	31	0	31	0	GRANT	
7142	Schools General - Fire Safety Modifications (Conditions)	53	53	0	53	0	53	0	GRANT	
7142	Schools General - Fire Safety Modifications (Conditions) 22/23	454	454	0	454	0	454	0	GRANT	
7142	Kingsley - Fire Safety Modifications	319	263	2	261	0	263	0	GRANT	Scheme on hold.
7142	Throston - Fire Safety Modifications	200	91	0	91	0	91	0	GRANT	Scheme on hold.
9027	English Martyrs - New Build	155	155	0	155	0	155	0	GRANT	
9028	High Tunstall New Build	161	161	0	161	0	161	0	GRANT	
7474	High Tunstall 3G Pitch	24	24	23	1	0	24	0	MIX	Scheme complete.
7478	High Tunstall Grass Pitch	15	15	0	15	0	15	0	UDPB	
8906	Brierton Campus Windows	18	18	0	18	0	18	0	RCCO	Scheme Complete.
7521	Two Year Old FNE Capacity Funding	23	23	0	23	0	23	0	GRANT	
8788	Universal Free School Meals	8	8	0	8	0	8	0	GRANT	
7568	Lynnfield Primary School Boundary Wall	10	10	0	10	0	10	0	GRANT	Scheme due to start October 2022
7569	Lynnfield Primary School DHW Boiler Renewal	21	9	0	9	0	9	0	GRANT	Scheme complete.
7570	Lynnfield Primary School Heating - Pipework, radiators, fan convectors, air systems	55	33	0	33	0	33	0	GRANT	Scheme complete.
9163	St Helens Primary School Demolition KS1 and KS2 Chimney	50	49	43	6	0	49	0	GRANT	Scheme complete
7786	St Helens Primary School Storm Damage to Conservatory	95	95	1	94	0	95	0	GRANT	Scheme on-site.
7566	Throston Primary School Heating Renewal	40	18	0	18	0	18	0	GRANT	Scheme complete.
7564	High Tunstall Renew Pool Flooring	11	11	0	11	0	11	0	GRANT	High Tunstall are carrying out these works.
9210	Fens Primary School Electrical Rewire	73	73	1	72	0	73	0	GRANT	Scheme complete.
New	Grange Primary School Roofing Works	26	26	0	26	0	26	0	GRANT	Awaiting confirmation of site start by contractor.
9207	Grange Primary School Fire Alarm Renewal	60	60	1	59	0	60	0	GRANT	.Scheme on-site
9208	Kingsley Primary School Fire Alarm Renewal	45	45	1	44	0	45	0	GRANT	Scheme due to start late 2022
New	Lynnfield Primary School Toilet Refurbishments	42	42	0	42	0	42	0	GRANT	Scheme complete.
New	Lynnfield Primary School Gas Main Renewal	40	40	0	40	0	40	0	GRANT	Scheme complete.
New	Lynnfield Primary School External Boundary Wall	10	10	0	10	0	10	0	GRANT	Scheme due to start October 2022
New	Lynnfield Primary School Internal Boundary Wall	9	9		9	0	9	0	GRANT	
9209	Miers Avenue Children's Centre Boiler Replacement	16	16	0	16	0	16	0	GRANT	Scheme Complete.
New	St Helens Primary School Main Entrance Access	50	50	0	50	0	50	0	GRANT	Scheme due to start October half-term 2022
9148	Springwell Special School Increase Capacity	424	386	1	385	0	386	0	GRANT	Scheme expected to complete mid October 2022
New	Catcote Secondary Special School Alternative Provision 6th Form	306	306	0	306	0	306	0	GRANT	
9004	Schools General - Conditions unallocated	112	112	0	112	0	112	0	GRANT	
9004	Schools General - Contingency	75	75	0	75	0	75	0	GRANT	
9004	Schools General - Suitability Unallocated (SEMH)	743	743	0	743	0	743	0	RCCO	
9004	Schools General - Special Provision	754	754	0	754	0	754	0	GRANT	
9004	Schools General - Basic Need	600	600	0	600	0	600	0	GRANT	
7149	Create Children's Home	316	316	2	314	0	316	0	UDPB	
7768	Drugs Centre - START Build new	2,800	2,800	0	800	2,000	2,800	0	UDPB	Scheme profile to be confirmed but will not be complete this financial year.
8072	ICS Case Management Improvement	37	37	0	0	37	37	0	MIX	
8218	Youth Service Portable MUGA	5	5	0	5	0	5	0	GRANT	
8946	PH - Stepping Stones Project	38	27	0	0	27	27	0	GRANT	
Total Children's and Joint Commissioning Services		8,650	8,379	112	6,203	2,064	8,379	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

NEIGHBOURHOOD & REGULATORY SERVICES
7.1 APPENDIX H
CAPITAL MONITORING REPORT PERIOD ENDING 30th September 2022

Project Code	Scheme Title	A Full Budget £'000	B 2022/23 Budget £'000	C 2022/23 Actual as at 30/09/22 £'000	D 2022/23 Expenditure Remaining £'000	E Expenditure Rephased into 2023/24 £'000	F (C+D+E) Total Expenditure £'000	G (F-B) Variance from Budget £'000	Type of Financing	2022/23 COMMENTS
Finance & Policy Committee										
8306	Schools - Kitchen Refurbishment	261	261	0	50	211	261	0	RCCO	Funds earmarked for replacement of equipment.
Finance & Policy Committee Sub Total		261	261	0	50	211	261	0		
Regeneration Committee										
S106	Developers Contribution Fund	2,741	87	45	42	0	87	0	GRANT	Further details are set out in Appendix K
Regeneration Committee Sub Total		2,741	87	45	42	0	87	0	GRANT	
7222	Sustainable Warmth LAD3	1,254	1,253	17	1,236	0	1,253	0	GRANT	Low income households heated by mains gas only.
7272	Wheelie Bin Purchase	90	90	70	20	0	90	0	UDPB	
7333	EDM Seaton Additional Car Parking Facilities	87	87	0	0	87	87	0	UDPB	All works complete. Slight deviation from outline design that was used to form Business Case owing to omission of Street Lighting. Officers waiting for clarification on whether this is required.
7344	NIP - Hindpool Close Play Area	40	37	0	2	35	37	0	GRANT	Thirteen funding rephased from 2020/21 - awaiting decision/approval to allocate to new scheme.
7347	NIP - CCTV in Parks	350	60	0	0	60	60	0	MIX	
7436	NIP - Stranton Cemetery Car Park	50	50	0	0	50	50	0	UDPB	This funding is likely to merge with the wider works at Stranton site for which a Mandate has been agreed by Capital Programme Board . A masterplan is yet to be developed.
7437	NIP - Sinking Fund	61	62	0	12	50	62	0	UDPB	
7440	NIP - Central Park	60	59	26	0	33	59	0	GRANT	Awaiting planning approval before a date for the works to commence can be confirmed.
7466	DSO Vehicle Purchase	7,684	7,684	278	1,100	6,306	7,684	0	UDPB	Vehicle procurement has been delayed as a result of supply chain issues following the pandemic, in addition to reduced staffing capacity.
7553	NIP - Seaton Bus Station Toilets	205	201	8	0	193	201	0	MIX	Scheme to be redesigned.
7561	Green Homes Grant	488	289	224	65	0	289	0	GRANT	
7577	Hartlepool North NDIP Study	50	50	0	50	0	50	0	GRANT	
7785	Burn Valley Garden Play Area 2022	28	28	23	5	0	28	0	MIX	
7878	Community Safety CCTV Upgrade	79	11	2	9	0	11	0	MIX	
7900	EDM Hartlepool Marina - North Pier	80	76	0	76	0	76	0	GRANT	
7902	EDM Hartlepool Drainage Schemes	36	30	0	30	0	30	0	GRANT	
8444	EDM Town Wall Strengthening	46	21	0	21	0	21	0	GRANT	
8578	EDM Management Unit Study	28	28	0	0	28	28	0	GRANT	
8996	NIP - Improvements to Parks	314	73	0	73	0	73	0	MIX	Part Thirteen funding rephased from 2020/21. Approval required to allocate to new scheme.
8997	NIP - Unallocated	16	9	1	8	0	9	0	UDPB	This is the remaining balance on the Neighbourhood Investment Fund to be allocated to schemes following future approval by Members.
9147	NIP - CCTV in parks, Support	29	29	1	28	0	29	0	UDPB	
9170	HUG1 Sustainable Warmth LAD3	611	611	8	603	0	611	0	GRANT	Grant funds received - Home upgrade for low income households off-gas grid.
9201	Reed St. Depot Relocation	400	210	0	210	0	210	0	MIX	Linked to Newmarket Housing scheme.
HIFP	Additional Highway Schemes HIFP	356	356	0	0	356	356	0	MIX	
LTP	Local Transport Plan (LTP) Schemes	2,303	2,050	165	1,743	142	2,050	0	GRANT	Various Highways & Traffic schemes. Collaborative scheme with another local authority that has been delayed.
TVCA	TVCA Cycleways and Footpath Upgrades	1,392	1,392	1,392	0	0	1,392	0	GRANT	
Neighbourhoods Committee Sub Total		16,137	14,846	2,215	5,291	7,340	14,846	0		
Neighbourhood & Regulatory Services Total		19,139	15,194	2,260	5,383	7,551	15,194	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

RESOURCES & DEVELOPMENT

7.1 APPENDIX I

CAPITAL MONITORING REPORT PERIOD ENDING 30th September 2022

Project Code	Scheme Title	A Full Budget £'000	B 2022/23 Budget £'000	C 2022/23 Actual as at 30/09/22 £'000	D 2022/23 Expenditure Remaining £'000	E Expenditure Rephased into 2023/24 £'000	F (C+D+E) Total Expenditure £'000	G (F-B) Variance from Budget £'000	Type of Financing	2022/23 COMMENTS
7260	City Challenge Clawback	9	9	0	9	0	9	0	RCCO	
7623	Corporate IT Projects	12	12	0	12	0	12	0	MIX	
	Corporate Projects	109	109	0	109	0	109	0	MIX	
7220	Private Sector Housing Grants	35	35	0	5	30	35	0	GRANT	New grants awarded and income recycled from owner contributions.
9130	CIP - Business Park Investment	760	751	2	749	0	751	0	MIX	
7357	15 Church Street Renovation	1,146	171	0	171	0	171	0	MIX	
7536	SEMH Free School Access Road	507	472	0	472	0	472	0	UDPB	
	Resources & Development Total	2,578	1,559	2	1,527	30	1,559	0		

Key	Revenue Contribution towards	
RCCO	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 J

CAPITAL MONITORING REPORT PERIOD ENDING 30th September 2022

Project Code	Scheme Title	A Full Budget £'000	B 2022/23 Budget £'000	C 2022/23 Actual as at 30/09/22 £'000	D 2022/23 Expenditure Remaining £'000	E Expenditure Rephased into 2023/24 £'000	F (C+D+E) Total Expenditure £'000	G (F-B) Variance from Budget £'000	Type of Financing	2022/23 COMMENTS
7036	Uncommitted CCF	226	226	0	226	0	226	0	MIX	
7041	Corporate Planned Unallocated	323	323	0	323	0	323	0	RCCO	
7065	Fire Risk Assessments	100	85	0	85	0	85	0	MIX	Scheme ongoing.
7072	Seaton Library DDA toilet	37	37	0	37	0	37	0	UDPB	Scheme on hold.
7200	Civic Centre Capital Project	75	62	0	62	0	62	0	UDPB	Scheme ongoing.
7336	Borough Hall - Upgrade Fixtures and Fittings	8	8	0	8	0	8	0	MIX	Scheme ongoing.
7591	Mill House Capital	126	126	0	126	0	126	0	MIX	
7617	Borough Hall - Lighting and Wiring	40	38	0	38	0	38	0	RCCO	Scheme on hold.
8064	Exmoor Grove - Distribution Board	5	5	0	5	0	5	0	MIX	Scheme ongoing.
8970	Historic Quay Dilapidation Work	97	97	0	97	0	97	0	RCCO	
9034	Carlton - Construction of a Fire Escape	34	34	0	34	0	34	0	RCCO	Scheme ongoing.
7539	Throston Youth Project - Resurface Car Park	63	62	0	62	0	62	0	RCCO	
7812	Masefield Centre SALIX Air Source Heat Pump	65	57	47	10	0	57	0	GRANT	Scheme ongoing.
New	Borough Hall - Major Refurb Works	45	45	0	45	0	45	0	RCCO	Scheme on hold.
7623	Corporate IT Equipment - Laptops	625	625	578	47	0	625	0	RCCO	
Finance & Policy Committee Total		1,869	1,830	625	1,205	0	1,830	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

SECTION 106 DEVELOPERS CONTRIBUTIONS as at 30 September 2022

7.1 Appendix K

	Affordable Housing Contributions *****	Cycleway	Highways	Bus Stop	Green Infrastruc-ture	Mainten-ance	Play	Off Site Recreational **	Public Art	Sports	Ecological Mitigation *****	Traffic Calming	Education	Coastal	Health	Restoration Security Bond ***	Other Service Areas Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Committed Balance Remaining (A+B-C) 1st April, 2022 *	0	219	660	15	180	0	133	157	5	141	149	15	881	22	41	100	2,718
<u>Amounts Received in Year 2022/23 (B)</u>																	
Wynyrd	145																0
Thirteen Housing, Brierton Lane														7			7
Total income	145	0	0	15	0	0	0	0	0	0	0	0	1	7	0	0	23
Sub Total - revised Balance	145	219	660	30	180	0	133	157	5	141	149	15	882	29	41	100	2,741
<u>Committed & Actual Expenditure as at 31st July 2022 (C)</u>																	
Council Housing - includes committed schemes	145																
Summerhill																	14
Coastal Footpath		45			20						14						65
Golden Flatts					3	0	5										8
																	0
Sub Total Expenditure	145	45	0	0	23	0	5	0	0	14	0	0	0	0	0	0	87
Forecast Committed Balance Remaining (A+B-C) 31st March, 2023 *	0	174	660	30	157	0	128	157	5	127	149	15	882	29	41	100	2,654

*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.

Off Site - £60,500 Budget is included as part of Capital NIP scheme Budget Project 7440

Sports also includes contributions for Playing Pitches, Tennis Courts and Bowling Greens

FINANCE AND POLICY COMMITTEE

12 December 2022



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

Subject: HOUSING ADVICE AND HOMELESSNESS UPDATE

1. TYPE OF DECISION/APPLICABLE CATEGORY

For information only.

2. PURPOSE OF REPORT

- 2.1 To update members on progress in relation to the Homelessness Reduction and Rough Sleeping Strategy 2021-24.

3. CONTEXT

- 3.1 In November 2021 committee approved 'The Homelessness Reduction and Rough Sleeping Strategy 2021 – 2024' as required under the Homelessness Reduction Act legislation. The strategy agreed a series of key priorities including:
- Prevent and relieve homelessness
 - End rough sleeping
 - Provide temporary accommodation, support people to move on and increase housing options
 - Support complex adults.
- 3.2 The Council has a number of legal duties under the Housing Act 1988/ 1996/ 2004, The Landlord and Tenant Act 1985, The Asylum and Immigration Act 1996, The Homelessness Reduction Act 2017 and The Domestic Abuse Act 2021. The council's role broadly is to advise, assess, support and if necessary accommodate those at risk of and/ or experiencing homelessness.
- 3.3 A dedicated team of Housing Advice Officers are available daily during office hours for enquiries and offer an out of hours 'on call' service outside of office hours including evenings, weekends and all Bank Holidays. Typically, the

team undertake investigations to establish if someone is at risk of homelessness, are homeless and/ or are owed a 'prevention or relief' duty.

3.4 A typical day for the Housing Advice Team will see cases that involve:

- preventing people from being evicted, negotiating with landlords, addressing rent arrears, debt and money issues;
- supporting people that can no longer live in the family home;
- supporting people settling back into the community e.g. release from prison or hospital;
- trying to secure accommodation for people in both social housing and in the private rented sector including helping with welfare and benefits and household goods;
- helping people with complex lives into suitable supported accommodation working with multiple agencies to keep them safe;
- helping people fleeing domestic abuse to secure safe accommodation and access support.

3.5 During the homelessness assessment period the Council owes a duty in some cases to provide temporary accommodation pending the outcome of the assessment. This includes vulnerable people, families with dependent children, people fleeing domestic abuse. Typically this can be Bed & Breakfast or Hotel accommodation, in 'crash pads', refuge or safe houses until the outcome of their assessment is confirmed and if necessary something more suitable and more sustainable can be found.

4. DATA

4.1 **Appendix 1** gives detailed information on the number of enquiries dealt with in 2021/22, the reasons for presenting as homeless, the outcome of their presentation together with broad demographic information.

4.2 There were 111 households in the period 2021 – 2022 placed in temporary accommodation whilst they were assessed.

5. PROGRESS ON KEY PRIORITIES

5.1 Housing Advice and homelessness work is often complicated, not least because people's lives and the circumstances that have lead them to being homeless can be complex. A number of complicating factors make securing those at risk of, or experiencing homelessness, difficult such as –

- Insufficient social housing for the number of people that need or want it;
- Varying availability, affordability and/ or quality of private rented sector housing;

- Allocations policies that prevent some people from accessing housing as they cannot meet the criteria (e.g. previous rent arrears, criminal convictions etc);
- Problems with sizes of properties (e.g. too big/ too small) and problems with accessibility (e.g. unable to meet the needs of disabled people within the household);
- The support needs of some people.

5.2 In order to address some of the above a number of commissioned services are in place including:

- Accommodation and support for low level needs young people (up to 18) and young adults (up to 25) provided by Thirteen;
- Accommodation for young parents and their young children provided by Thirteen;
- Low, Medium and High Needs accommodation and support for adults for both housing and support needs provided by Home Group;
- Cornerstone who are commissioned to undertake direct work with rough sleepers including out of hours street sweeps to identify and bring rough sleepers in;
- Domestic Abuse crash pad, refuge and dispersed accommodation provided by Harbour.

5.3 Grant funding has been secured from the Department of Levelling Up, Housing and Communities (DLUHC) to deliver:

Rough Sleeper Accommodation Programme

- 18 units for low to medium level needs adults in dispersed properties across the town offering tenancy and wider support in partnership with New Walk and Community Campus;
- 9 ex offender units in dispersed properties across the town offering tenancy and wider support in partnership with Thirteen.

Rough Sleeper Initiative

- Housing First worker funded to provide one additional member of staff to work exclusively with a small cohort of complex needs adults;
- A Housing and Substance Misuse Officer funded to work with a small group of adults who need help to sustain their tenancy and engage in substance misuse treatment;
- A seasonal sit up service in the community for those at risk of sleeping rough;
- Funding for temporary accommodation pending homelessness assessments.

Move On

In addition, Home Group secured Move On funding from Homes England and has been delivering accommodation and low level support to adults in units across the town.

6. CHALLENGES

- 6.1 The biggest challenge when undertaking homelessness functions is the lack of availability of temporary accommodation. For many reasons hotels and B&Bs do not want to accept our clients pending our assessments. Despite tireless efforts we have found it extremely difficult to secure a suitable building to deliver temporary accommodation and support services. Potential buildings that have been identified have proven too costly to refurbish following feasibility studies and/ or are not in a 'suitable' location. For this reason we sometimes have to send people out of town to stay whilst we undertake their assessments. This is not a preferred method of practice.
- 6.2 New Walk CiC has extensive experience of delivering temporary accommodation for homeless adults during their assessment period as well as longer term tenancies with support. They currently operate across the Tees region they are growing their local footprint and will soon begin similar work in Hartlepool. They have located a potential suitable building and discussions are underway to secure this in order for the council to discharge its temporary accommodation duties.

7. RISK IMPLICATIONS

- 7.1 There is a risk that the council does not fulfil its duties to provide temporary accommodation during a homelessness assessment if suitable accommodation is not found. This could result in legal challenge with clients supported by national groups such as Shelter to support them in their right to temporary accommodation.

8. FINANCIAL CONSIDERATIONS

- 8.1 The government provides an annual Homelessness Prevention Grant which is not sufficient to cover the costs of delivering a homelessness prevention and relief service, hence the need to secure ongoing grant funding from the DLUHC.

9. LEGAL CONSIDERATIONS

- 9.1 The council's legal duties are set out in the report in section 3

10. CONSULTATION

- 10.1 The Homelessness Prevention Partnership meets bi-monthly and addresses issues as identified in the Homelessness and Rough Sleeper Strategy.

- 10.2 A Rough Sleeper Action Group meets weekly and undertakes direct work with those experiencing homelessness.

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

- 11.1 There are no specific child and poverty considerations. The team support those that present as homeless and those needing housing advice and support.

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

- 12.1 There are no specific equality and diversity considerations. The team support those that present as homeless and those needing housing advice and support.

13. STAFF CONSIDERATIONS

- 13.1 There are no specific staff considerations within this report.

14. ASSET MANAGEMENT CONSIDERATIONS

- 14.1 There are no specific staff considerations within this report.

15. RECOMMENDATIONS

- 15.1 For members to note the report.

16. REASONS FOR RECOMMENDATIONS

- 16.1 For members to be kept up to date in relation to the work of the housing advice team and how officers are supporting homelessness.

17. BACKGROUND PAPERS

None.

18. CONTACT OFFICERS

Penny Thompson, Head of Service, 01429 284878,
penny.thompson@hartlepool.gov.uk

Danielle Swainston, Assistant Director, Joint Commissioning, 01429 523732
danielle.swainston@hartlepool.gov.uk

Sign Off:-

Chief Executive ☒

Director of Finance and Policy ☒

Chief Solicitor ☒

7.2

Appendix 1

HOUSING ADVICE TEAM DATA APRIL 2021 TO MARCH 2022	April to June 2021	July to September 2021	October to December 2021	January to March 2022
Homelessness Presentations	101	89	103	137
Relief duty	50	48	58	55
Prevention duty	48	36	43	82
Not homeless	2	0	0	0
Withdrew	1	4	2	0
Not eligible for assistance	0	1	0	0
Main reason for presenting as homeless				
Family/friends asked to leave	33	18	23	29
End of PR tenancy	14	13	16	37
End of SR tenancy	4	6	4	4
Relationship breakdown	8	10	16	14
Prison release	3	12	15	6
Hospital discharge	5	2	0	2
Fleeing domestic abuse	13	9	3	12
Fleeing violence/harassment (not DA)	5	3	4	1
Evicted from Supported Housing	4	4	3	3
Disrepair	1	0	1	2
Alleged perpetrator of DA excluded from property	1	2	2	
Required to leave accommodation provided by Home Office as asylum support	4	7	6	8
Fire/flood or other emergency	0	0	2	1
Mortgage repossession	0	0	0	1
Other	6	3	8	17
Households placed in Temporary Accommodation during the quarter	32	31	23	25
Accommodation outcome at end of duty				
Private rented sector tenancy	10	5	18	26
Domestic Abuse Refuge	1	0	1	1
Social housing tenancy	27	7	25	31
Social rented Supported Housing	7	3	15	12
Staying with family/friends	14	6	5	4
Other including lost contacts	18	6	7	13
HBC Council tenancy	1	0	2	2
Prison sentence	0	0	2	0
Owner Occupier	0	0	0	1
Gender (sole or main applicant)				
Female	44	33	42	69
Male	57	56	61	68
Age range(sole or main applicant)				
16 - 17	2	1	3	2
18 - 24	23	14	17	32
25 -34	35	26	30	39
35 -44	22	23	25	38
45- 54	10	17	19	14

7.2

Appendix 1

55 - 64	5	5	5	11
65+	4	3	0	1
Number of children in household				
0	76	70	78	105
1	11	9	13	16
2	6	7	5	8
3	3	2	5	5
4 or more	5	1	2	3

FINANCE AND POLICY COMMITTEE

12 December 2022



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

Subject: ASYLUM SEEKERS AND REFUGEES

1. TYPE OF DECISION/APPLICABLE CATEGORY

For information.

2. PURPOSE OF REPORT

- 2.1 To provide members with an update on the council's duties and support in relation to asylum seekers and refugees in Hartlepool.

3. BACKGROUND

- 3.1 An asylum seeker is a person who leaves their country of residence, enters another country and applies for asylum in this other country; forcibly displaced they may have fled their home country because of war or other factors harming them or their family.
- 3.2 A refugee has a well-founded fear of persecution and in the case of European Law, this fear is formally acknowledged and they are allowed to settle either permanently or for an agreed period of time in the country in which they sought asylum.

ASYLUM SEEKERS

- 3.3 Historically, for asylum seeking adults and families, 'Group 4 Security' held the Home Office contract to support and accommodate asylum seekers in the North East for some time; their work in Hartlepool was sub contracted to 'Jomast'. This service ended when the Home Office changed its contracting arrangements and in September 2019 Mears was contracted to undertake the asylum work in the North East. Since this date, the Council has and continues to work closely with Mears to ensure appropriate support is in place for those seeking asylum, especially if an asylum seeker is given

‘leave to remain’ by the Home Office and must leave their supported accommodation at short notice (within 28 days).

- 3.4 Unaccompanied asylum-seeker children (UASC) are children who have fled their country of origin without the care and protection of their parents or legal guardian. Children who arrive in the UK are taken into the care of the local authority. If it is not possible to trace a suitable family member or guardian to care for them, UASC are placed in foster care or supported accommodation dependent upon their age and assessed needs.
- 3.5 For several years Hartlepool Borough Council (HBC) has supported calls for assistance from Kent and other local authorities where UASC arrive and transferred them into the care of HBC. In 2016 the Government introduced the National Transfer Scheme (NTS) protocol for UASC to expedite the transfer of children to the care of other local authorities and reduce the burden on arrival authorities, Hartlepool received and assumed responsibility for UASC under the NTS each year. Initially the NTS was a voluntary arrangement, however, in 2021 the NTS became a mandated scheme managed through the local migration partnerships where each local authority received an allocation that they would need to accept based on a population formula. Due to the high volume of arrivals this summer, recent changes have been made to the NTS reducing the transfer timescale as set out in the protocol from 10 days to five days and increasing the operating threshold above which a local authority is no longer expected to receive an UASC under the NTS from 0.07% to 0.1% of the local authority’s general child population. A 0.1% threshold of our child population would equate to 20 UASC.

RESETTLEMENT SCHEMES

3.6 Syria

In 2015 the Home Office requested assistance from Local Authorities to support the resettlement of 20,000 vulnerable Syrian Families by 2020. In 2016 the council agreed to take part in the *Syrian Vulnerable Person Resettlement Scheme (VPRS)* and the *Vulnerable Children Resettlement Scheme (VCRS)* and pledged to resettle 40 families over the course of the programme. In Dec 2019 the council met its pledge.

3.7 Middle East and North Africa

In June 2019 a new scheme was announced by the government pledging to resettle 5,000 of the world’s most vulnerable refugees in the first year from the Middle East and North Africa (MENA). The scheme is known as *UK Resettlement Scheme (UKRS)*.

3.8 Afghanistan

The war in Afghanistan saw the introduction in 2021 of the *Afghan Locally Employed Staff (LES) Relocation Scheme (ALES)*. This scheme specifically

protects the human rights of Afghan Locally Employed Staff (ALES) who have supported the British Forces deployed in Afghanistan. In January 2022 the *Afghan Citizens Resettlement Scheme (ACRS)* was formally opened. This scheme prioritises those that have assisted the UK efforts in Afghanistan together with vulnerable people (women and girls) at risk and members of minority groups at risk (including ethnic and religious minorities and LGBT+).

3.9 Ukraine

In March 2022 the UK Government launched the Homes for Ukraine Sponsorship scheme allowing individuals, community groups and businesses in the UK to bring Ukrainians to safety, including those with no family ties to the UK. Individual sponsors are asked to provide homes or a spare room rent free for as long as they are able, with a minimum stay of six months. In return they receive a ‘thank you’ payment. These payments are payable for up to 12 months. Ukrainians arriving in the UK under this scheme will be granted three years leave to remain, with entitlement to work and access benefits and public services.

4. DATA

4.1 As at 31 March 2022 there were 386 asylum seekers in Hartlepool.

4.2 The table below indicates the numbers of people supported by the council under the various resettlement schemes 2016 to present.

VPRS	162 (83 children)
VCRS	30 (14 children)
UKRS	6 (2 children)
ALES	54 (26 children)
UASC	8 / 10 (currently in our care / care leavers)

4.3 The table below indicates the number of people supported through the response to the war in Ukraine under the Homes for Ukraine Sponsorship Scheme. Family visa information not available.

Host matches	32
Individual Ukraine matches	77 (31 children)
Individual Ukraine arrivals	41 (15 children)

- 4.4 In summary, Hartlepool Borough Council has supported the safe arrival and resettlement of 57 families since May 2016 under VPRS, VCRS, UKRS, LES and ALES. 52 families currently remain in the town, indicating that they are settled in their local communities and are happy to live in Hartlepool.

5. SUPPORT SERVICES

Funding

- 5.1 In order to undertake all the necessary support for resettled refugees the council receives grant funding to cover work on housing, integration, adult education, health and employment. Funding periods and amounts vary for each scheme. However, Home Office funding currently fully covers all costs incurred by the council in supporting its refugee functions. In addition, separate funding is provided by the government for Education, ESOL, and Health. Funding is not usually provided to the Local Authority for asylum seekers. However, following concerns raised by local authorities in relation to pressure on local services associated with supporting asylum seekers, an Asylum Dispersal Grant was recently paid. It is understood that this is a one off payment in 2022/23.
- 5.2 For UASC the Council receives £114 per person per night for each qualifying child. A higher allowance (£143) is paid for local authorities who are above the 0.1% threshold. For UASC who have been in our care and are now over 18 years of age, a careleaver payment of £270 per week is paid to the local authority for each eligible young person. Given the cost of care, placements and support services for UASC local authorities have continued to face funding gaps and pressures in relation to UASC.

Education

- 5.3 Many children have missed several years of education or have not attended any schooling prior to moving to the UK. The Education Hub was set up in 2016/17 for newly arrived school age children allowing a bespoke approach for each child. The Education Hub allows children to begin their education in a nurturing environment. Specialist services such as Educational Psychology are able to observe the children in the setting. This approach has helped children and families access services and receive appropriate support in a timely manner. All children that start their education at the Education Hub are enrolled into mainstream primary and secondary schools. Transition into the mainstream school begins when each child is ready and is supported by mainstream schools and is seen as an area of 'Good Practice' by the Home Office. In addition, children aged under 5 are supported with a childcare place in an appropriate registered setting.

English as a Second Language (ESOL) Provision and Adult Education

- 5.4 ESOL is pivotal to the integration of the refugee cohort, they need to be able to function socially and live independently. Not having access or not

attending ESOL prevents individuals from moving forward. Funding is from the government and adults are able to access both non-accredited and accredited courses, enabling progression through ESOL levels. Many access such services in the town with some choosing other local providers in towns such as Stockton on Tees and Middlesbrough.

6. KEY BENEFITS

- 6.1 A small team undertakes this direct work of the council, it is challenging however rewarding. In addition, a significant number of other council staff and external organisations support the work. Through this work we are able to:
- Provide a humanitarian response to crisis and war;
 - Provide children with an opportunity to thrive;
 - Develop excellent partnerships across statutory and voluntary/ community sector services;
 - Increase cultural diversity within the town.

7. KEY CHALLENGES

- 7.1 Securing suitable accommodation is very difficult. The need to balance property availability with existing residents against new arrivals is difficult. In addition:
- securing suitable properties – location, safety, size, accessibility need to be considered
 - there are thousands of refugees currently in processing centres and hotels that need to be dispersed
 - ‘host’ family arrangements (Ukraine) can be stressful and at risk of breakdown
 - move-on accommodation (Ukraine and those granted leave to remain in the UK) once the asylum process ends requires a fast turn around.
- 7.2 Access to appropriate health services is increasingly difficult:
- NHS dentists – no spaces available in Hartlepool for adults (some space now available for children), have to travel out of town
 - Mental health and trauma support – specialist services for victims of war and war crimes.
- 7.3 Managing capacity to support further families against the uncertainty of how long support needs to go on for.
- 7.4 For UASC in Hartlepool, as well as across the north east region and beyond, there is a shortage of placements for children in care with in house and independent care provision not having any capacity to offer placements. This means that although HBC continues to receive UASC transferred to our care, it may be that their placements are not within Hartlepool.

8. OTHER CONSIDERATIONS

Risk Implications	<p>Some services struggle with capacity to provide essential support.</p> <p>Despite best efforts some individuals/ families struggle to integrate within communities (eg language/ employment).</p> <p>Some refugees that arrive in Hartlepool want to move to other areas where they feel there are more culturally appropriate opportunities for them.</p>
Financial considerations	The support offered by the council is fully funded via the government grant. No additional funding is required.
Legal considerations	We have a number of legal duties in areas such as housing, children's and asylum/ refugee legislation.
Child and Family Poverty	Families from Black, Asian and minority ethnic backgrounds are more likely to experience poverty than those from other backgrounds. (Impact assessment Appendix A)
Equality and Diversity	All individuals and families are supported as set out above.
Staff	None
Asset Management	None
Environment, Sustainability and Climate Change	None

9. RECOMMENDATIONS

- 9.1 For members to note the contents of the report.

10. REASONS FOR RECOMMENDATIONS

- 10.1 It is important that members are kept up to date with the position in relation to asylum seekers and refugees.

11. BACKGROUND PAPERS

None.

12. CONTACT OFFICER

Penny Thompson, Head of Housing, Hardship and Welfare Services
–Civic Centre, 01429 284878 penny.thompson@hartlepool.gov.uk

Danielle Swainston, Assistant Director, Joint Commissioning, Civic Centre,
01429 523732 danielle.swainston@hartlepool.gov.uk

Sign Off:-

Managing Director



Director of Resources and Development



Chief Solicitor



1. Is this decision a Budget & Policy Framework or Key Decision? Yes

If YES please answer question 2 below

2. Will there be an impact of the decision requested in respect of Child and Family Poverty? No

If YES please complete the matrix below

GROUP	POSITIVE IMPACT	NEGATIVE IMPACT	NO IMPACT	REASON & EVIDENCE
Young working people aged 18 - 21	Yes			Asylum seekers and refugees are more likely to suffer poverty with more than 47% of their children nationally living in poverty as a result of their circumstances. By working with refugees in approved programs the council is able to ensure children and young people access education, parents are supported to learn English and gain work.
Those who are disabled or suffer from illness / mental illness	Yes			
Those with low educational attainment	Yes			
Those who are unemployed	Yes			
Those who are underemployed	Yes			
Children born into families in poverty	Yes			
Those who find difficulty in managing their finances	Yes			
Lone parents	Yes			
Those from minority ethnic backgrounds	Yes			

Poverty is measured in different ways. Will the policy / decision have an impact on child and family poverty and in what way?				
Poverty Measure (examples of poverty measures appended overleaf)	POSITIVE IMPACT	NEGATIVE IMPACT	NO IMPACT	REASON & EVIDENCE
Children in low income families	Yes			Funding provided by the government for approved refugee programs is used to support community integration, access to health and education and to support the necessary skills to gain work.
Educational attainment	Yes			
Healthy eating	Yes			
Overall impact of Policy / Decision				
POSITIVE IMPACT	X	ADJUST / CHANGE POLICY / SERVICE		
NO IMPACT / NO CHANGE		STOP / REMOVE POLICY / SERVICE		
ADVERSE IMPACT BUT CONTINUE				
Examples of Indicators that impact of Child and Family Poverty.				
Economic				
Children in Low Income Families (%)				
Children in Working Households (%)				
Overall employment rate (%)				
Proportion of young people who are NEET				
Adults with Learning difficulties in employment				
Education				
Free School meals attainment gap (key stage 2 and key stage 4)				
Gap in progression to higher education FSM / Non FSM				
Achievement gap between disadvantaged pupils and all pupils (key stage 2 and key stage 4)				

Housing
Average time taken to process Housing Benefit / Council tax benefit claims
Number of affordable homes built
Health
Prevalence of underweight children in reception year
Prevalence of obese children in reception year
Prevalence of underweight children in year 6
Prevalence of obese children in reception year 6
Life expectancy

FINANCE AND POLICY COMMITTEE

21st November 2022



Report of: Monitoring Officer

Subject: CORPORATE COMPLAINTS MONITORING REPORT FOR 2021/22

1. TYPE OF DECISION/APPLICABLE CATEGORY

For information only in accordance with s 5 of the Local Government and Housing Act 1989 (LGHA 1989).

2. PURPOSE OF REPORT

- 2.1 The purpose of this report is to inform Finance and Policy Committee of the 2021/22 outturn position in relation to corporate complaints and those considered by the Local Government Social Care Ombudsman (LGSCO).

3. BACKGROUND

- 3.1 Section 5 / 5A of the LGHA 1989 requires the Monitoring Officer to report to elected members on LGSCO decisions. This report fulfils that requirement.
- 3.2 In addition to the legislative requirements, the Council's Corporate Complaints, Comments and Compliments Policy includes 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 2021/22.
- 3.3 There are some complaints that the Council receives that are considered outside of the corporate complaints policy. This includes those that are required to follow statutory complaints processes for adult social care, children's social care and public health. Separate annual reports are prepared for these and have been shared with the relevant policy committee as follows:
- Annual Report of Adult Social Care Complaints and Compliments 1 April 2021 – 31 March 2022, Adults and Community Based Services on 28th July 2022;

- Annual Report of Children's Social Care Complaints and Compliments 1 April 2021 – 31 March 2022, Children's Services Committee on 6th September 2022 (includes Public Health).

4. SUMMARY OF PROGRESS –CORPORATE COMPLAINTS 2021/22

4.1

Year	Number of complaints received	Number upheld or partially upheld	Percentage upheld or partially upheld
2021/22	12	4	33%
2020/21	7	3	43%

During 2021/22 there was an increase in the number of corporate complaints received in comparison with the previous year. However the low number in 2020/21 was most likely due to the effects of COVID. The position will continue to be monitored over the next 12 months.

- 4.2 **Tables 1 to 3 in Appendix 1** set out further information on the corporate complaints received during 2021/22.

5. LOCAL GOVERNMENT AND SOCIAL CARE OMBUDSMAN (LGSCO) – ANNUAL REVIEW LETTER 2022

- 5.1 The LGSCO Annual Review 2022 Letter sets out the annual statistics on complaints made to the LGSCO about Hartlepool Borough Council (HBC) for the year ending 31 March 2022. 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:

- In 2021/22 the LGSCO received 25 complaints or enquiries about HBC, which is an increase of 9 on the previous year. However the low number in 2020/21 was most likely due to the effects of COVID.
- The LGSCO made decisions on these complaints or enquiries during 2021/22 and the outcomes were:

Decision	Number
Incomplete/Invalid	0
Advice given	0
Referred back for local resolution	5
Closed after initial enquiries	15
Detailed investigation	4
Total	25

Please note the number of complaint enquiries 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 5 complaints subject to detailed investigation, 4 were not upheld and 1 was upheld by the LGSCO – further detail is provided in **Table 4 in Appendix 1**.
- The uphold rate of 20% of those investigated in 2021/22 is lower than last year but the numbers are very small with only 5 complaints undergoing a detailed investigation.
- There have been 11 complaints upheld or partly upheld in the last 5 years out of a total number of 29 complaints received by the LGSCO. This represents an uphold rate of 38% of the total number received over a 5 year period. Further details are provided in **Appendix 1 Table 5 and Table 6**.
- The uphold rate across similar authorities in 2021/22 is 64% meaning that our performance is well above average.
- As in previous years Hartlepool Borough Council has the lowest upheld rate across the North East at 20% with the other 11 authorities ranging between a 25% and 83% uphold rate.
- 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. CURRENT POSITION OF PERSISTENT & VEXATIOUS RESIDENTS

- 6.1 At present there are two residents on restricted contact with the Local Authority through the Unreasonable Customer Behaviour Policy.

7. LEGAL CONSIDERATIONS

- 7.1 This is a report of the Monitoring Officer in accordance with Section 5 / 5A of the Local Government and Housing Act which requires the Monitoring Officer to report to elected members on LGSCO decisions.

8. OTHER CONSIDERATIONS

8.1

Financial 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

9. CONCLUSION

- 9.1 The number of complaints received by HBC has increased this year but is still below pre-pandemic levels. However complaints investigated by the LGSCO have reduced again reduced this year. We will closely monitor this situation to ensure that all complaints are dealt with in the most efficient and effective manner.

10. RECOMMENDATIONS

- 10.1 Finance and Policy Committee are recommended to note the update on complaints received during 2021/22.

11. REASONS FOR RECOMMENDATIONS

- 11.1 To ensure compliance with the statutory provisions set out in the LGHA 1989.
- 11.2 Finance and Policy Committee have responsibility for the monitoring of the Corporate Complaints, Comments and Compliments Policy and the Unreasonable Customer Behaviour Policy.

12. BACKGROUND PAPERS

- 12.1 None.

13. CONTACT OFFICERS

- 13.1 Hayley Martin
Monitoring Officer / Chief Solicitor
01429 523002
hayley.martin@hartlepool.gov.uk

Sign Off:-

Managing Director



Director of Resources and Development



Chief Solicitor



Table 1: Corporate Complaints received in 2021-22

	Q1	Q2	Q3	Q4	Total Number of Corporate Complaints Received	Number of Corporate Complaints Upheld / Partly Upheld
Total Number of Corporate Complaints	5	4	3	0	12	4
Total number of Resources and Development (R&D) Corporate Complaints	1	2	0	0	3	1
Total Number of Neighbourhood and Regulatory Services (NRS) Corporate Complaints	0	1	1	0	2	0
Total Number of Children's and Joint Commissioning (C&JCS) Corporate Complaints	1	0	2	0	3	3
Total Number of Adult and Community Based Services (A&CBS) Corporate Complaints	3	1	0	0	4	0

Table 2: Historical Comparison of Corporate Complaints

	2018/19		2019/20		2020/21		2021/22	
	Number of complaints	Upheld / Partly Upheld	Number of complaints	Upheld / Partly Upheld	Number of complaints	Upheld / Partly Upheld	Number of complaints	Upheld / Partly Upheld
Total Number of Corporate Complaints	23	9 (39%)	25	11 (44%)	7	3 (43%)	12	4 (33%)

Table 3: Details of Corporate Complaints Upheld / Partly Upheld in 2021-22

Dept.	Complaint Description	Outcome of complaint	Current position
C&JCS	Adopted daughter's birth name used incorrectly which allegedly placed her at risk.	The 'looked after' record closed to avoid further confusion. The IT record on another system has been locked down so it cannot be accessed as an interim arrangement until a technical fault is resolved. The technical IT fault has been notified to the provider for them to fix.	Completed
R&D	Complaint over how a Covid grant application was handled.	Grant application process reviewed.	Completed
C&JCS	Complainant unhappy a Social Worker parked over their drive.	Apology given, addressed with the worker concerned and reminded the team not to park over someone's drive during a visit.	Completed
C&JCS	Alleged lack of support regarding homelessness and unsuitable temporary accommodation. Unhappy with responses from officers about family's circumstances and health care needs.	<p>Complainant received an apology for those elements of complaint that were upheld and financial redress regarding the provision of unsuitable temporary accommodation. Recommendation regarding bond reconsideration is no longer relevant as complainant has been rehoused and no longer requires a bond.</p> <p>Letter sent to all landlord and letting agents regarding HBC Discretionary Housing Payment Bond Fund clarifying HBC's position on making awards and the eligibility criteria for the fund.</p> <p>A review of accommodation for temporary housing for families with special needs has been undertaken and a report will be taken to F&P Committee in November 2022.</p>	<p>5 of 6 recommendations completed.</p> <p>Report incorporating final recommendation response due to F&P Committee in November 2022.</p>

Table 4 – Outcome of LGSCO Complaints 2021-22 – Detailed Investigation only

Reference	Description of complaint	Outcome	Date completed
Upheld after detailed investigation (1 complaint)			
19 013 913	The complainant said the Council failed to do enough to control antisocial behaviour by youths on his road. He says this caused him injustice because he was distressed by the disturbance. He also says officers were rude to him on the phone when he complained.	The Council was not at fault for its actions taken to limit antisocial behaviour. It took action but did not have to take the actions the complainant wanted. The Council accepts that some officers provided a poor service to the resident. This was fault. However, the Council apologised so no further remedy is required.	9 th April 2021
Not upheld after detailed investigation (4 complaints)			
20 010 526	The complainant said that the Council did not agree sufficient care hours to meet her needs and refused an assessment by an independent social worker. As a result of the lack of care hours she was put at risk and, on occasion, was left without food.	The investigation found that the Council had responded appropriately to concerns about the level of care reported to it.	22 nd Oct 2021
20 010 673	The complaint was with regards to the Council's plan to remove electric gates it installed on their road in 2015. The complainant also covered the Council's failure to fully remove knotweed from her property despite agreeing to do so.	The investigation did not find fault with the Council as it is entitled to install manual gates if the current gates are not serving their purpose. Furthermore, there is no evidence the Council has agreed to eradicate the knotweed as suggested.	12 th Jan 2021
20 011 910	Complaint about poor care provided as part of a Council-commissioned care package. The complainant also said the Council did not respond appropriately to his safeguarding alert.	The investigation found that the Council was not at fault on either issue.	1 st Nov 2021
20 004 008	The resident complained about the Council's decision to evict and ban him from an allotment.	The LGSCO found no fault in the eviction or the process used to decide on the eviction.	7 th Feb 2022

Table 5: Historical Comparison of Complaints and Enquiries Received by LGSCO for the last 5 years – 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
2021/22	5	1	3	6	1	1	1	2	0	20
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

Table 6: Historical Comparison of Decisions Made by LGSCO for the last 5 years - Hartlepool

	Incomplete or Invalid	Advice Given	Referred back for Local Resolution	Closed after Initial Enquiries	Detailed Investigations			Total	Average uphold rate (%) of similar authorities
					Not Upheld	Upheld	Uphold Rate		
2021/22	0	0	5	15	4	1	20%	25	64%
2020/21	1	0	7	4	1	3	75%	16	NA
2019/20	0	2	3	10	6	3	33%	24	NA
2018/19	0	1	6	11	4	1	20%	23	NA
2017/18	2	0	7	8	3	3	50%	23	NA

Table 7 - North East Local Authorities – 2021/22 LGCSO comparison

	Number of detailed investigations	Complaints Upheld		Upheld cases where the authority provided a satisfactory remedy before the complaint reached the Ombudsman (%)	Cases we were satisfied the authority successfully implemented our recommendations to remedy the complaint (compliance rate) (%)
		Number	Percentage	Percentage	Percentage
Hartlepool	5	1	20%	100%	100%
Durham	6	17	55%	6%	100%
Northumberland	29	15	52%	27%	100%
Newcastle	8	4	50%	25%	100%
Sunderland	11	8	73%	13%	100%
Gateshead	8	2	25%	50%	100%
South Tyneside	13	6	46%	17%	100%
North Tyneside	13	9	69%	33%	100%
Darlington	6	5	83%	20%	100%
Stockton	13	5	38%	0%	100%
Middlesbrough	13	10	77%	10%	100%
Redcar & Cleveland	6	5	83%	40%	100%

FINANCE AND POLICY COMMITTEE

12th December 2022



Report of: Managing Director

Subject: COUNCIL PLAN 2021-2024 – PROGRESS UPDATE

1. TYPE OF DECISION/APPLICABLE CATEGORY

For information only.

2. PURPOSE OF REPORT

- 2.1 To provide an update to Finance and Policy Committee on the progress made on the delivery of the Council Plan so far this year and to share with the Committee the latest version of the Strategic Risk Register.

3. BACKGROUND

- 3.1 The Council Plan 2021-24 was agreed by Council on 25th February 2021 and forms part of the Council's budget and policy framework as set out in the Constitution.
- 3.2 The Plan sets out a clear vision for Hartlepool and identifies what the delivery of that vision will mean. This reflects what was identified through consultation with residents, elected members and our public, voluntary, community and private sector partners whilst also recognising the emerging and continually evolving challenges the Council faces from the pandemic.
- 3.3 Finance and Policy Committee have received progress update reports at their meetings on 15th November 2021, 14th March 2022 and 26th July 2022.

4. PROGRESS UPDATE – OCTOBER 2022

- 4.1 This update outlines the progress made on the delivery of the Council Plan since the last report to Committee in July 2022:

Hartlepool will be a place where people are enabled to live healthy, independent and prosperous lives.

Leisure Centre Development - The Highlight

The development of Hartlepool's new leisure facility, The Highlight, has experienced significant progress over the last few months. In July 2022, Planning Permission for the development was granted which is a major milestone for the project. The technical design stage is now complete and the procurement phase has started.

Cycling Developments

The new cycle track at Summerhill was officially opened in October 2022 and has been well used by schools and cycling groups as well as individuals.

Work continues on the local cycling and walking infrastructure plan with designs being developed for a number of improved sections of footpath and cycleway across the town over a five year period. A Levelling Up Fund bid also being progressed.

There are a number of specific cycling schemes that are currently being progressed including:

- Transport Interchange to Headland (LCWIP) with consultation planned for November / December 2022 and construction to take place in early 2023 with completion in time for the Tall Ships Races.
- Transport Interchange to Wolviston (LCWIP) with consultation planned for November / December 2022 and construction to commence in September 2023.
- Marina to Seaton Promenade (LUF) with consultation planned for spring 2023.
- A689 to Summerhill (LUF) with consultation planned for spring 2023.

Discussions have also taken place with the Tees Valley Combined Authority (TVCA) to establish a town centre cycling hub and investigations are now ongoing to potentially use the Central Community Hub as the chosen option.

Holiday Activities and Food (HAF) Programme

Holiday activities and food programme delivered its summer programme delivering 12,500 sessions across 30 plus providers to over 3,500 children.

Mockingbird Project

The Mockingbird project is now in delivery phase. The Hub and constellation carers have been selected and the programme has been launched.

Changing Places Facilities

The Council has been awarded funding to create additional changing places toilets that are accessible by people with complex physical disabilities. Following consultation with people who use services (supported by the Community Led

Inclusion Partnership) plans are being developed to provide facilities at a number of locations including Seaton Carew and the Central Hub.

Older People

A new care home for older people with nursing and residential care needs opened in July 2022. Merlin Manor will support up to 94 residents creating increased capacity and choice in the Borough.

Ageing Well Funding has been secured to assist older people to improve their physical, mental and emotional well-being.

Hartlepool will be a place where those who are vulnerable will be safe and protected from harm.

Team Around the Individual (TATI)

Re-established the TATI Panel to consider cases where existing mechanisms for resolving or minimising risk have not been achieved. This multi-agency approach is designed to support people with multiple needs, who may be at risk of significant harm but fall outside the criteria for adult safeguarding enquiries or have made an informed decision not to engage with services.

Multi Agency Child Exploitation Hub

The Contextual Safeguarding Hub is now fully operational and working with partners to protect children from risk associated with exploitation. HBC is working with the Department for Education to pilot new approaches to managing harm outside of the home.

Social, Emotional and Mental Health (SEMH) Free School

The Council is working with the Department for Education to identify a location and premises for a temporary school whilst the Free School is built in order to ensure that we can meet the needs of children with SEMH within Hartlepool.

Hartlepool will be a place of resilient and resourceful communities with opportunities for all.

Adult Education

The Council has achieved the highest number of enrolments in Adult Education provision in five years, in advance of the academic year starting.

Summer 2022 Events

A number of large scale events were hosted in Hartlepool over the summer of 2022 including the Waterfront Festival, Gaia Exhibition, Big Lim Tri Series, Love Hartlepool Games and Queen's Platinum Jubilee events. Together these events attracted over 20,000 visits.

Community Based Services

We are seeing increased engagement and participation figures across culture and leisure with some services (such as the Art Gallery) returning to higher than pre Covid visitor numbers.

Education

Hartlepool has been selected as a Priority Investment Area and a Board has been established to oversee delivery of priorities including the local authority, Department for Education and representatives from Multi Academy Trusts. Work is currently underway to develop delivery plan.

Employability

The new Jobs & Skills @ Hub has received 258 engagements in the last six weeks which has included tailored support around careers guidance, employment, interview techniques and completing online applications.

The Tees Valley Youth Employment Initiative supported 305 young people aged 16 to 29 to progress into employment or further education in the last quarter with 82 of these in Hartlepool. Independent research which has just been published from ERS has shown that for every £1 spent the Tees Valley Youth Employment Initiative generates £6.78 of economic and social value.

Hartlepool Youth Hub supported 152 young people aged 18 to 24 and 30 progressing into work over the last quarter through the partnership which now has over 30 members including training providers and VCSE.

Volunteering

There have been 7 drop-in events for the Tall Ships which has resulted in 115 signing up to volunteer next July across a range of roles including Wayfinder, Entertainment Team and Story Teller.

The new Virtual Jobs & Volunteering Platform has launched on Hartlepool Now and last month replaced the previous Volunteer Hartlepool website as the main resource for Hartlepool. There are currently 60 volunteers supporting across the Community Hubs (10 new within the last quarter). We have lost some volunteers within this time, with a few success stories as some of these have moved into paid employment opportunities.

Council Tax Energy Rebate scheme

The Council has progressed the Council Tax Energy Rebate scheme at pace since the 1 April. Extending this to all Band E and Band F-H properties, approximately 41,000 households within Hartlepool will benefit by this £150 payment. As at the 30 September 41,023 claims had been either paid or where that has not been possible, offset against Council Tax accounts to ensure all eligible households have benefitted. The scheme is due to close on 30th November 2022.

Hartlepool will be a place that is sustainable, clean, safe and green.

Parks

The Council has been awarded £85,000 from the Levelling Up Parks Fund and a proposal has been agreed to deliver significant improvements to Burn Valley Gardens, including sustainable play equipment, community space and interactive trails.

Conservation Area Management Plans

Funding of £20,000 was secured from Historic England to revise the Conservation Area Management Plans for the Headland and Seaton Carew. An engagement exercise with interested parties including local residents and business holders is currently underway.

Seascapes Programme

The Seascapes programme has been delivered in partnership with other local authorities promoting the coastline of Hartlepool and achieving excellent outcomes in relation to volunteering, protecting ecology and environment, community excavations and conservation of areas of significance.

Elephant Rock

Elephant Rock successfully hosted a number of events to celebrate the Queens Platinum Jubilee in June 2022.

In July 2022, the project was recognised by Constructing Excellence North East as the winner of the 'Value' category. This is a fantastic achievement and a real testament to the success of the project and its delivery led by the Consultancy Services in collaboration with a number of other HBC teams.

Briarfields Bypass

Progress has been made with land ownership issues and design works are currently ongoing. Furthermore, the new external boundary fence is currently being installed which will enable the sale of the bungalow to proceed.

Hartlepool Railway Station

Works have commenced to re-establish the 2nd platform at Hartlepool Railway Station, which will hopefully increase service frequency in future years. The scheme is anticipated to be open ahead of the Tall Ships Races in July 2023.

Tackling Climate Change

Strategic Development Team has appointed a dedicated Net Zero Officer to develop a new HBC 'Net Zero Plan' and a draft Sustainability Policy for the Tall Ships 2023 has been produced.

Road Improvement and Safety Schemes

The Highway Maintenance Programme continues to be delivered effectively, with the majority of the 2022/23 programme completed.

The Local Safety Scheme programme continues, with works recently completed at Raby Road and Valley Drive. Additional schemes are due to commence at Wynyard Road, Mowbray Road, Grange Road, Throston Grange Lane, St. Joseph's School, Clavering School, Park Road and Coronation Drive.

In addition to the Local Safety Scheme programme further works are taking place under the Local Transport Plan, including the upgrading of traffic signals at Park Road / Waldon Street, York Road / Thornton Street and Easington Road. There are also a number of verge tarmacking schemes, dropped kerbs, electronic signage, and parking schemes to be delivered.

Community Safety

Work continues to progress the recommendations following the review of the Integrated Community Safety (ICS) Team. Regular progress updates have been presented to Safer Hartlepool Partnership (SHP) and an action plan continues to be developed.

A strategic assessment for serious violence is being developed and this will be used to develop the serious violence strategy which will be presented to the SHP for approval at a future Committee meeting.

The ICS Team were successful in a bid to obtain funding to address serious violence and work will now begin to implement this programme.

Hartlepool will be a place that has an inclusive and growing economy.

Inclusive Growth Strategy

The Inclusive Growth Strategy was agreed by Finance and Policy Committee in July 2022 and work is underway to develop an action plan for its implementation.

Town Deal / Levelling Up Fund

Four Town Deal capital project business cases (totalling £12m) have been approved by the Department for Levelling Up, Homes and Communities (DLUHC). The Wesley Chapel redevelopment, Health & Social Care Academy and Civil Engineering Academy will now move to the delivery phase.

In Summer 2022 early works were delivered on site for the Town Deal projects and the Reimagining Middleton Grange project was approved by Finance and Policy Committee to be submitted to government.

A £16.4m bid was submitted to DLUHC for Levelling Up Round 2 for the 'Catalysing Hartlepool Screen Industries' project.

The Outline Business Case for the Waterfront Programme was approved by Finance and Policy Committee.

Covid Additional Relief Fund (CARF)

The Council approved and implemented the Covid Additional Relief Fund (CARF) in March 2022 providing further Business Rate Relief to businesses most affected by the Covid pandemic. We sought to ensure grant usage was maximised and at the end of the scheme (September) £1.574m of the £1.585m government award had been granted in reliefs to 198 hereditaments.

Tall Ships

There are now 22 ships signed up to attend the Tall Ships event in July 2023. The site plan has been finalised and work is underway to recruit sponsors, sail trainees and volunteers.

Detailed planning works of the Tall Ships Traffic Management Plan are taking place, with a first draft anticipated for early November.

Elwick Bypass

Over the past 4 months, a Stage 1 Road Safety Audit has been undertaken on the proposed outline design for the Elwick Bypass project. This has since been issued to National Highways for comment. The design team are now working through National Highways comments with the intent of progressing the project through to detailed design in the coming months. Work has also commenced on drafting the Statement of Reasons that will accompany a future report to Full Council to approve the commencement of the CPO process.

Negotiations with developers continue to secure funding towards the Elwick Bypass and local road network improvements required to facilitate developments on the western fringe of Hartlepool.

Hartlepool will be a place with a Council that is ambitious, fit for purpose and reflects the diversity of its community.

Workforce

In 2022 Hartlepool Borough Council has implemented a strong strategic framework with employee health and wellbeing at its heart. The strategic leadership for the implementation, development and monitoring of workforce wellbeing which is a key theme of the Workforce Strategy, is the newly formed Employee Health and Wellbeing Strategic Group. This group is chaired by the Managing Director with senior representatives of the workforce and health. Additionally the Council has set up a Health Advocate Network with volunteers from across our services. This will enable two way engagement between the strategic group and the workforce and ensure employee health and wellbeing campaigns are needs led.

The Council has recently agreed a new Menopause Policy which aims to ensure that employees know and understand the help and support available to them if they are experiencing symptoms which they feel may be linked to the perimenopause or menopause. A Menopause Hub has been established on the Council's Your Say platform to provide an evolving series of resources for any

employee who wants to find out about the menopause and includes videos, toolkits and resources around menopause in the workplace.

The development of a new Staff Equality Network has been agreed with the first meeting to be held in November. The aim of the groups is to bring employees together to celebrate and promote equality, diversity and inclusion.

Consultation and Engagement

The Council's Your Say consultation and engagement platform continues to develop and recent activity has included:

- Hartlepool Business Week 2022
- Redcar, Saltburn and Hartlepool Golf Week 2022
- Hartlepool Parks Consultation
- Housing Allocation Policy Consultation 2022
- Summer at Seaton 2022
- Coastal Conservation Area Management Plans
- Hartlepool Parking Strategy 2022-2032
- Tall Ship Volunteers
- Workforce Survey – Summer and Autumn 2022
- Hartlepool Restaurant Week – Business Survey
- Longhill and Sandgate BID renewal business survey
- Young people in Victoria Ward – Your Thoughts
- Employee Benefits and rewards

Digital Progression

Over the last few years the Council has been developing its digital offer and has been providing increasing opportunities for residents to contact the Council through digital channels. At the end of quarter 2 there were 23,355 HBC self-online accounts and there had been 160,430 transactions delivered digitally over the first 2 quarters of the year. Digital projects delivered in last few months include:

- Holiday Activities and Food Programme (Easter and Summer)
- Report a problem in your area – enhanced way of reporting issues
- Civic Centre reception – queue management system and customer booking solution
- Local Welfare Support (including Discretionary Housing Payments) – online application process

Information Communication Technology and Cyber Security

The new ICT contract process and the programme for replacing VDI units are both progressing well.

Corporate Peer Review

Unfortunately, the Corporate Peer Review scheduled for September was delayed due to the death of the Queen. This has now been rescheduled and will take place 6-9th December 2022 with the final report expected to be published in March 2023.

4.2 Current areas of concern

Whilst good progress is being made on the delivery of the Council Plan there are a number of areas of concern that may impact on future progress including:

- Impact of cost of living pressures on residents and issues of poverty and deprivation across Hartlepool;
- Difficulties in the recruitment and retention of employees being felt by both the Council and those who deliver commissioned services on our behalf. There are particular concerns around social care which is affecting market stability and access to services;
- Ageing workforce and potential future knowledge and skills gaps if we are unable to recruit new talent as people retire from the Council;
- Ongoing recovery from Covid and the impact on income in areas such as leisure and car parking from this and the cost of living pressures facing residents;
- The impact of unplanned work on the overall performance of teams including the delivery of the £150 Energy Rebate scheme on behalf of the Government which was a significant, resource intensive undertaking and impacted directly on the revenues team who are responsible for Council Tax and Business Rate collection;
- Future legislative changes and the impact on our work including Mental Health Act, Mental Capacity Act, Schools Bill, Adult Social Care Reform (including Fair Cost of Care)
- Gaps and bottlenecks in the system being identified in the mental health transformation work which will need to be addressed;
- Uncertainty around future funding including that to support the Government's Hospital Discharge and Community Support Policy and Operating Model;
- Difficulties in maintaining service standards and managing expectations in the context of funding reductions and uncertainty around future funding stream availability;
- Delays in formal approvals for projects by central government departments can delay schemes moving to the delivery stage;
- Impact of inflation on cost of capital schemes and day to day delivery of core services such as waste management and school catering. Increased utility costs also impacting on the day to day provision of council services and that of local partners in the public, private and voluntary sectors. Both concerns may impact on future service delivery and may require further prioritisation of services and schemes.

4.3 Strategic Risk Register

The Strategic Risk Register sets out the key strategic risks that the Council faces and the areas of concern identified above are reflected within it. Risks within the SRR have been reviewed and the latest full version of the SRR is attached as **Appendix 1** for Finance and Policy Committee's information. Members are requested to note the following changes to the Strategic Risk Register:

- increase in the risk score for Safeguarding Children from Red 8 to Red 12;
- increase in the risk score for Access to Leisure, Community and Preventative Services from Amber 6 to Red 9; and
- the addition of 2 new risks reflecting Adult Social Care (Red 8) and the Tall Ships (Red 12).

5. RISK IMPLICATIONS

- 5.1 The Council agreed the Risk Management Framework in June 2019 and this ensures that appropriate arrangements are in place for the management of the Council's key strategic risks. Embedding the identification and management of risk supports the achievement of our Council Plan and provides assurance to elected members that these risks are being appropriately managed.
- 5.2 The Council Plan and Strategic Risk Register are monitored regularly to enable early identification and reporting to Members of any emerging risks which might prevent delivery of the strategic priorities identified in the Council Plan. The latest version of the Strategic Risk Register is included as Appendix 1 of this report.

6. FINANCIAL CONSIDERATIONS

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

7. LEGAL CONSIDERATIONS

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

8. CONSULTATION

- 8.1 The Council Plan has been informed by extensive consultation including a 4 week consultation exercise in September 2019, a further 5 week consultation starting in January 2020 and a wide ranging consultation over the summer of 2020. This consultation has included Elected Members through Members Seminars on 27th November 2019, 29th January 2020 and 14th July 2020 and

through reports to individual Policy Committees in January and February 2020.

9. CHILD AND FAMILY POVERTY

- 9.1 The priorities identified in the Council Plan include work to reduce child and family poverty within Hartlepool. There is no change to the Child and Family Poverty Impact Assessment included within the Council Plan 2021/22 – 2023/24 report to Council on 25th February 2021.

10. EQUALITY AND DIVERSITY CONSIDERATIONS

- 10.1 Since the first equality objectives were published in April 2012 the Council has based them on the strategic objectives set out in our Council Plan. By doing this the Council demonstrates that equality and diversity is a core part of what we do as an organisation and not an add on activity. The Council's vision as set out in the Council Plan sets out our equality objectives. The priorities identified in the Council Plan aim to have a positive impact on the whole population of Hartlepool and those with protected characteristics. There is no change to the Equality Impact Assessment included within the Council Plan 2021/22 – 2023/24 report to Council on 25th February 2021.

11. OTHER CONSIDERATIONS

11.1

Staff Considerations	No implications
Asset Management Considerations	No implications
Environment, Sustainability and Climate Change Considerations	No implications

12. RECOMMENDATIONS

- 12.1 Finance and Policy Committee are requested to:
- note the progress made on the Council Plan 2021-2024 at the end of October 2022;
 - note the updated Strategic Risk Register as set out in appendix 1 including increased risk scores in 2 areas and the addition of 2 new risks covering Adult Social Care and Tall Ships.

13. REASONS FOR RECOMMENDATIONS

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

14. BACKGROUND PAPERS

14.1 Council Plan 2021/22 - 2023/24 report to Council on 25th February 2021.

Council Plan 2021-2024 – Progress Update report to Finance and Policy Committee on 15th November 2021.

Council Plan 2021-2024 – Progress Update report to Finance and Policy Committee on 14th March 2022.

Council Plan 2021-2024 – Progress Update report to Finance and Policy Committee on 26th July 2022.

15. CONTACT OFFICERS

15.1 Denise McGuckin Managing Director 01429 523001 denise.mcguckin@hartlepool.gov.uk

Sign Off:-

Managing Director



Director of Resources and Development



Chief Solicitor



Strategic Risk Register

November 2022

Risk Scoring Matrix:

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

HBC Strategic Risk Register

No.	Risk Title	Risk Score	Risk Owner
1	Finance - Failure to deliver a balanced budget leading to a reduction in services provided, damage to reputation and negative impact on the community.	RED 12	Chris Little Director of Resources and Development
2	Workforce - The skills, expertise, wellbeing, performance and overall size of the workforce available may not be sufficient to support the overall aims of the organisation resulting in the failure to deliver services.	RED 9	Hayley Martin Chief Solicitor
3	Communication and Engagement – Failure to deliver effective communication, consultation and engagement could impact adversely on the Council’s reputation and ability to deliver plans and strategies.	AMBER 6	Bev Bearne Assistant Director – Development and Growth
4	Health and Safety - Failure to comply with Health and Safety legislation and ensure appropriate risk controls are in place to ensure the health, safety and wellbeing of individuals at work and those who may be affected by our act or omission.	RED 12	Sylvia Pinkney Assistant Director – Regulatory Services
5	Information Governance and Cyber Security - Failure to comply with legislation and ensure appropriate system safeguards to ensure the confidentiality, integrity and availability of personal and corporate information and data leading to data loss, cyber-attacks, legal proceedings and significant financial penalties.	RED 8	James Magog Assistant Director – Finance
6	Information Technology – Failure to provide a resilient and responsive ICT infrastructure leading to ineffective service delivery or the loss of services.	RED 8	James Magog Assistant Director – Finance
7	Children and Young People – Failure to improve life chances, provide opportunities for education for children and young people particularly those whose circumstances make them vulnerable to poor outcomes.	RED 9	Sally Robinson Director of Children’s and Joint Commissioning Services
8	Drugs and Alcohol – Failure of the drugs and alcohol addiction services to prevent, treat and provide recovery for those with substance misuse problems in Hartlepool.	RED 9	Craig Blundred Director of Public Health

No.	Risk Title	Risk Score	Risk Owner
9	Safeguarding children – Failure to protect children and young people from harm and promote their welfare.	RED 12	Jane Young Assistant Director - Children and Families
10	Market failure and sufficiency of provision – Provider failure within residential or non-residential care leading to insufficient capacity to support vulnerable adults appropriately.	AMBER 6	Danielle Swainston Assistant Director - Joint Commissioning
11	Adult Safeguarding – Failure to protect an adult’s right to live in safety, free from abuse and neglect.	AMBER 6	John Lovatt Assistant Director - Adult Social Care
12	Access to Leisure, Community and Preventative services - Failure to engage the at risk population in preventative, cultural, leisure and community based activities could impact on demand led services.	RED 9	Gemma Ptak Assistant Director - Preventative and Community Based Services
13	Highways and Flood Defences – Failure to maintain the Borough Highway infrastructure and protect areas from flooding risks could impact on the economy and quality of life.	AMBER 6	Kieran Bostock Assistant Director – Place Management
14	Community Safety - Failure to provide a safer Hartlepool where residents and visitors can live free from crime, fear of crime and anti-social behaviour could impact on quality of life and tourism.	AMBER 6	Sylvia Pinkney Assistant Director – Regulatory Services
15	Waste Management - Council are unable to collect and dispose of all household waste within existing financial resources.	RED 9	Kieran Bostock Assistant Director – Place Management
16	Business Continuity - Failure to provide Council services as a result of disruption to the normal day to day activities.	RED 8	Sylvia Pinkney Assistant Director – Regulatory Services

No.	Risk Title	Risk Score	Risk Owner
17	Economic Regeneration – Failure to encourage regeneration, support enterprise, reduce unemployment and grow new and existing businesses could impact adversely on the sustainability of Hartlepool.	AMBER 6	Bev Bearne Assistant Director – Development and Growth
18	Housing – Failure to address the housing requirements of the borough and provide affordable, high-quality housing.	AMBER 6	Bev Bearne Assistant Director – Development and Growth / Kieran Bostock Assistant Director – Regulatory Services / Danielle Swainston Assistant Director - Joint Commissioning
19	Inflation - Increasing inflation leading to increased costs for goods and services resulting in overspend against allocated budgets, reduced level or standard of service delivery, longer waiting times for services or cuts to existing services.	RED 12	Denise McGuckin Managing Director
20	Adult Social Care - Workforce, system and financial pressures within the NHS may negatively impact on Adult Social Care and the broader Council by placing unrealistic expectations on Adult Social Care to assess and provide services to vulnerable and ill people earlier.	RED 8	John Lovatt Assistant Director - Adult Social Care
21	Tall Ships – Failure to deliver a successful Tall Ships Race 2023 leading to financial loss, adverse publicity and reputational damage.	RED 12	Gemma Ptak Assistant Director - Preventative and Community Based Services

RISK TITLE:	Finance - Failure to deliver a balanced budget leading to a reduction in services provided, damage to reputation and negative impact on the community.
--------------------	---

DETAILED DESCRIPTION OF CURRENT RISK:		
CAUSES - what could make it happen?	IMPLICATIONS - what impact would it have if it did?	EXISTING INTERNAL CONTROLS – what are we already doing to reduce the likelihood and/or impact of it happening?
<p>Changes in government funding leading to the necessity to deliver savings, cuts and efficiencies.</p> <p>Council Tax not increased in line with government referendum limits including the Adult Social Care precept.</p> <p>Individual service pressures for example rising number of looked after children; increasing demands on Adults’ services.</p> <p>Higher national pay awards, interest rates and / or inflation than forecast.</p> <p>Permanent reduction in business rates base – e.g. Power Station and impact of current economic conditions.</p> <p>Impact of inflation on capital programme costs and other service delivery across the Council.</p> <p>Political uncertainty – national and local.</p>	<p>Potentially a significant impact on reputation, service delivery, and achievement of Council objectives.</p> <p>Service cuts, redundancies, Section 114 notice etc.</p>	<p>Prepare and deliver a balanced and sustainable Medium Term Financial Strategy including the Capital Strategy and Reserve Strategy.</p> <p>Ongoing monitoring and delivery of savings and efficiency targets.</p> <p>Maximise and safeguard income for the council, including effective treasury management strategy, debt recovery, maximise funding opportunities.</p> <p>Timely and effective financial performance reporting and monitoring.</p> <p>Good understanding and interpretation of changes to funding regimes and analysis of the Government annual budget statements.</p> <p>Robust governance framework.</p> <p>Compliance with relevant accounting principles and standards to satisfy legislative and regulatory requirements.</p> <p>Capital programme monitoring arrangements in place and capital contingency built in to MTFS.</p>

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				RED 12
	POSSIBLE				
	HARDLY EVER				

RESPONSIBLE OFFICER	Chris Little – Director of Resources and Development
DIVISION	Finance
DEPARTMENT	Resources and Development Department
DATE OF ASSESSMENT	October 2022

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Being prepared to respond quickly to future changes	Close monitoring of future changes to Local Government Finance.	Director of Resources and Development	March 2023
	Agree savings programme for 2023/4.	Managing Director	January 2023
	Agree savings programme for 2024/5.	Managing Director	June 2023
	Monitor delivery of savings programme.	Director of Resources and Development	September 2023
	Close monitoring of the impact of inflation pressures on the Capital programme and service delivery across the Council	Director of Resources and Development	March 2023

RISK TITLE:	Workforce - The skills, expertise, wellbeing, performance, and overall size of the workforce available may not be sufficient to support the overall aims of the organisation resulting in the failure to deliver services.
--------------------	---

DETAILED DESCRIPTION OF CURRENT RISK:		
CAUSES - what could make it happen?	IMPLICATIONS - what impact would it have if it did?	EXISTING INTERNAL CONTROLS – what are we already doing to reduce the likelihood and/or impact of it happening?
<p>The necessity to deliver savings and efficiencies has resulted in a reduced workforce.</p> <p>Loss of experienced staff due to retirement, ill health, lack of development opportunities or due to concerns about job security caused by continuing reductions in staffing levels.</p> <p>Recruitment and selection difficulties; attracting applicants to the public sector/Local Government.</p> <p>Recruitment and retention difficulties resulting from an inability to compete in the local/national labour markets if pay levels continue to be suppressed.</p>	<p>Failure to maintain staffing levels, and failure to develop staff performance/Council services, resulting in reduced service delivery impacting on the lives and wellbeing of the Hartlepool community.</p> <p>Increased workloads leading to inefficiencies, increased sickness absence and impact on staff wellbeing and general discontent.</p> <p>Reputational damage.</p> <p>Failure to attract and maintain external contracts resulting in reduced income generation.</p>	<p>Availability of up to date HR policies and procedures, in line with legislative requirements and the strategic aims of the Council.</p> <p>Recruitment and retention of quality staff ensures that the organisation has the necessary knowledge, skills and experience to achieve its objectives.</p> <p>Support the development of Apprenticeships, volunteering opportunities and work experience within the Council.</p> <p>Accurate and timely payment of all employee salaries and administration of all deductions from pay.</p> <p>Administration of pension service.</p> <p>Advisory services providing advice, guidance and support in all employment matters.</p> <p>Support provided to the programme of organisational and structural change being delivered to meet the financial challenge, including service reviews and redundancies.</p> <p>Trade Union negotiation and consultation.</p> <p>Absence management and reporting.</p> <p>Management of Health and Wellbeing contracts, including Occupational Health and Counselling (emergency only) to support the wellbeing of the workforce preventing and supporting the management of sickness absence.</p> <p>Management and administration of employee benefits.</p> <p>Workforce planning, including the Council's values and behavioural standards, succession planning, pay and reward.</p>

		<p>Employee development and engagement to further enhance the skills and capacity of our workforce.</p> <p>Support the development of the Council's Digital Strategy through My View and HR Dashboard for employee and managers to access and manage employee information.</p> <p>Support the health of the workforce through the Council's Health & Wellbeing of the Workforce Programme.</p> <p>Report on concerns and actions to monitor recruitment and retention across the Council to the Corporate Management Team.</p> <p>Utilise market forces supplements where the criteria is met under the Council's terms and conditions of employment (in the absence of funding a full pay and grading review).</p> <p>Managers encouraged to review essential criteria in person specifications such as qualification level (possible JE implications to pay banding).</p> <p>Introduction of development schemes for career development to attract quality candidates.</p> <p>Development of recruitment platforms with NEREO and other partner agencies to reach a wider audience.</p>
--	--	---

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

RESPONSIBLE OFFICER	Hayley Martin - Chief Solicitor
DIVISION	
DEPARTMENT	Legal
DATE OF ASSESSMENT	October 2022

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Control measures are regularly reviewed to ensure effectiveness.	Review the effectiveness of the 'existing control measures' related to recruitment.	Chief Solicitor	June 2023

RISK TITLE:	Communication and Engagement – Failure to deliver effective communication, consultation and engagement could impact adversely on the Council’s reputation and ability to deliver plans and strategies.
--------------------	---

DETAILED DESCRIPTION OF CURRENT RISK:		
CAUSES - what could make it happen?	IMPLICATIONS - what impact would it have if it did?	EXISTING INTERNAL CONTROLS – what are we already doing to reduce the likelihood and/or impact of it happening?
<p>Failure to respond effectively to public relations / media.</p> <p>Poor partnership working and media relations.</p> <p>Lack of marketing and communication skills.</p> <p>Technology failure.</p> <p>Not effectively engaging with the public so that their views are heard.</p> <p>Negative news stories coming from poor local performance.</p> <p>Failure of staff and elected members to uphold the Nolan principles (In particular the principle of accountability where holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.)</p>	<p>Poor image, public discontent and reputational damage.</p> <p>Failure to attract investment and visitors to the town leading to loss of jobs and/or economic hardship.</p> <p>Difficulties in attracting and retaining staff.</p> <p>Poor staff morale and employee engagement.</p>	<p>Annual Communications Plan.</p> <p>Love Hartlepool campaign in collaboration with partners from across Hartlepool.</p> <p>Ongoing website and social media including Facebook, Instagram and Twitter development.</p> <p>Proactive communications.</p> <p>HR policies and procedures (Code of Conduct, Values).</p> <p>Internal communications and staff engagement work including development of the Staff Hub</p> <p>Public engagement and consultation activities including Face the Public events and the Your Say online consultation platform.</p>

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				
	POSSIBLE			AMBER 6	
	HARDLY EVER				

RESPONSIBLE OFFICER	Beverley Bearne - Assistant Director – Development and Growth
DIVISION	Development and Growth
DEPARTMENT	Resource and Development Department
DATE OF ASSESSMENT	October 2022

RISK TITLE:	Health & Safety - Failure to comply with Health and Safety legislation and ensure appropriate risk controls are in place to ensure the health safety and wellbeing of individuals at work and those who may be affected by our by act or omission.
--------------------	---

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

Lack of suitable health and safety audits, fire risk assessment and inspection programmes to identify health and safety risks across the work force		<p>Director appointed to provide resources for H&S safety</p> <p>Monitoring in place for high risk actions including HSE improvement notice actions.</p>
---	--	--

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				RED 12
	POSSIBLE				
	HARDLY EVER				

RESPONSIBLE OFFICER	Sylvia Pinkney - Assistant Director – Regulatory Services
DIVISION	Regulatory Services
DEPARTMENT	Neighbourhoods and Regulatory Services Department
DATE OF ASSESSMENT	October 2022

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Risk Management Group that has been established to meet fortnightly is working well.	Review the Risk Management Group to ensure it has appropriate membership and is having a demonstrable impact on improving health and safety.	Assistant Director – Regulatory Services	March 2023

RISK TITLE:	Information Governance and Cyber Security - Failure to comply with legislation and ensure appropriate system safeguards to ensure the confidentiality, integrity and availability of personal and corporate information and data leading to data loss, cyber-attacks, legal proceedings and significant financial penalties.
--------------------	---

DETAILED DESCRIPTION OF CURRENT RISK:		
CAUSES - what could make it happen?	IMPLICATIONS - what impact would it have if it did?	EXISTING INTERNAL CONTROLS – what are we already doing to reduce the likelihood and/or impact of it happening?
<p>Non-compliance with legislation and best practice standards.</p> <p>Human error.</p> <p>Deliberate attack.</p> <p>System failure.</p>	<p>If the Council does not effectively manage personal data, a penalty of up to £0.5m may be levied by the Information Commissioner.</p> <p>Detrimental impact on end user/customer.</p> <p>Service disruption.</p> <p>Potentially major reputational damage.</p>	<p>Compliance with legislation and information publication requirements.</p> <p>Information management policies, strategies, processes and procedures and associated staff training (mandatory).</p> <p>Data Security and Protection (DPS) Toolkit.</p> <p>Regular monitoring of information governance by Corporate Information Governance Group with all Department's represented and chaired by an Assistant Director.</p> <p>Mandatory for all staff to undertaken IG training once a year – alternating face-to-face and e-learning.</p> <p>Automatic email encryption where TLS certificates exist.</p> <p>Encryption of removable media – laptops, tablets, USB devices.</p> <p>Security of our system monitored by NEC and reported to HBC monthly through Operations Board.</p> <p>8 weekly meetings with NEC re Cyber security.</p> <p>Information security incident management process incorporating lessons learned improvement action plans.</p> <p>Internal arrangements for the secure disposal of information through shredding.</p> <p>Anycomms secure file transfer between HBC and its partner organisations.</p> <p>Business continuity arrangements in place covering availability of information systems.</p>

		<p>Cyber security is a standing item on the agenda for the corporate Business Continuity Group.</p> <p>Regular application of security patches and updates to system.</p>
--	--	---

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

RESPONSIBLE OFFICER	James Magog - Assistant Director – Finance
DIVISION	Finance
DEPARTMENT	Resources and Development Department
DATE OF ASSESSMENT	October 2022

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Access support from external bodies to review and ensure our approach to cybersecurity and information governance is up to date with current best practice.	Work with the Department for Levelling Up, Housing and Communities (DLUHC) to review cyber security arrangements.	Assistant Director – Finance	December 2022
	Utilise LGA funding to review cyber security arrangements.	Assistant Director – Finance	December 2022

RISK TITLE:	Information Technology - Failure to provide a resilient, flexible and responsive ICT infrastructure leading to ineffective service delivery or the loss of services.
--------------------	---

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

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

RESPONSIBLE OFFICER	James Magog - Assistant Director – Finance
DIVISION	Finance
DEPARTMENT	Resources and Development Department
DATE OF ASSESSMENT	October 2022

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Implement findings of VFM review to end of current contract in October 2023.	Tighten contract management arrangements.	Assistant Director – Finance	December 2022
	Develop new performance measures to reflect the findings of the VFM review.	Assistant Director – Finance	December 2022
	Amend current service delivery model to reflect VFM findings.	Assistant Director – Finance	December 2022

RISK TITLE:	Children and young people - Failure to improve life chances, provide opportunities for education for children and young people particularly those whose circumstances make them vulnerable to poor outcomes
--------------------	--

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

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

RESPONSIBLE OFFICER	Sally Robinson
DIVISION	Children's and Joint Commissioning Services
DEPARTMENT	Children's and Joint Commissioning Services
DATE OF ASSESSMENT	November 2022

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Education Improvement Strategy	Implement EIS Year 2 Align the Education Service to White Paper and Schools Bill to target resources to vulnerable children	Assistant Director Education	March 2023
SEND Improvement Plan	Implement finding from High Needs Block Review Implementation of SEND action plan Prepare for SEND inspection and planned future changes	Assistant Director Joint Commissioning	March 2023
Health and Wellbeing Strategy	Implement Starting Well (Health and Wellbeing Strategy) 0-19 pathways regularly reviewed	Director of Public Health	March 2023
Early Help	Review and remodel Early Help around Supporting Families and Family Hubs model Implement Workforce programme for Early Help workforce	Children's and Joint Commissioning Services Departmental Management Team	March 2023
Work across partners to reduce duplication and maximise effective use of resources.	Implement opportunities for joint commissioning, collaboration and shared services	Children's and Joint Commissioning Services Departmental Management Team	March 2023

RISK TITLE:	Drugs and Alcohol - Failure of the Drugs and Alcohol addiction services to prevent , treat and provide recovery for those with substance misuse problems in Hartlepool
--------------------	---

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

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

RESPONSIBLE OFFICER	Craig Blundred – Director of Public Health
DIVISION	Public Health
DEPARTMENT	Children’s and Joint Commissioning Services
DATE OF ASSESSMENT	November 2022

ADDITIONAL CONTROLS TO BE PUT IN PLACE: TBC			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
The development of a strategy for substance misuse with clear vision, objectives and outcomes identified	Implement the strategy to be performance monitored and managed by strategic governance group	Director of Public Health	December 2022
Outcome review for strategy	Monitor and review outcomes in the action plan associated with the strategy	Director of Public Health	March 2023
Annual review of DRD process	Review the outcomes of the DRD process and identify key learning and report to strategic governance group	Director of Public Health	March 2023

RISK TITLE:	Safeguarding children - Failure to protect children and young people from harm and promote their welfare
--------------------	---

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

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				RED 12
	POSSIBLE				
	HARDLY EVER				

RESPONSIBLE OFFICER	Jane Young - Assistant Director Children and Families
DIVISION	Children and Families
DEPARTMENT	Children's and Joint Commissioning Services
DATE OF ASSESSMENT	November 2022

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Continuous improvement in assessment planning, implementation and review of the needs of children and young people	Performance management in place with audits cycle to review practice Managers oversee timescales and quality of APIR process	Assistant Director Children and Families	March 2023

RISK TITLE:	Market failure and sufficiency of provision - Provider failure within residential or non-residential care leading to insufficient capacity to support vulnerable adults appropriately.
--------------------	---

DETAILED DESCRIPTION OF CURRENT RISK:		
CAUSES - what could make it happen?	IMPLICATIONS - what impact would it have if it did?	EXISTING INTERNAL CONTROLS – what are we already doing to reduce the likelihood and/or impact of it happening?
<ul style="list-style-type: none"> • Action taken by the regulator to stop a service from operating. • Provider decides to close or change focus of provision. • Provider cannot operate due to financial viability. • Provider cannot operate due to lack of appropriate workforce/ staffing. • Commissioned services not able to provide high quality services. 	<ul style="list-style-type: none"> • Service for vulnerable adults ceasing at short notice. • Services unavailable to meet assessed need placing people at risk of harm. • Vulnerable adults need to be moved to different provision which is detrimental to their health and wellbeing and creates significant pressure for operational services. • Insufficient provision for older people can result in increased Delayed Transfers of Care, creating pressures across the wider health and care system. • Increase in out of area placements if there is insufficient provision locally. • Non–residential provision is not able to meet need therefore vulnerable adults have to access residential care which would place significant pressure on existing provision. • Reputational damage to the Council if services cannot be provided within Hartlepool to meet local needs. 	<ul style="list-style-type: none"> • Regional agreement/ process to share information re: commissioned provision intelligence which highlights any emerging risks. • Regular contract meetings with providers to understand their current performance and business position. • Robust commissioning arrangements – financial checks undertaken. • Regional protocol for responding to market failure. • Good relationships with partners e.g. CCG for information to be shared to highlight any early issues that can be planned for. • Commissioning link officers for all providers – regular visits from link officers. • Good relationship with CQC – regular updates. • Bi monthly regional commissioning meetings – share best practice and intelligence on providers across the region • Regular committee reports to inform members of market position • High quality data and information available which if a provider closes can be used to ensure that the best provision is identified

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				
	POSSIBLE			AMBER 6	
	HARDLY EVER				

RESPONSIBLE OFFICER	Danielle Swainston - Assistant Director - Joint Commissioning
DIVISION	Joint Commissioning
DEPARTMENT	Children's and Joint Commissioning Services
DATE OF ASSESSMENT	September 2022

RISK TITLE:	Adult safeguarding - Failure to protect an adult's right to live in safety, free from abuse and neglect.
--------------------	---

DETAILED DESCRIPTION OF CURRENT RISK:		
CAUSES - what could make it happen?	IMPLICATIONS - what impact would it have if it did?	EXISTING INTERNAL CONTROLS – what are we already doing to reduce the likelihood and/or impact of it happening?
Failure to protect an adult from death or serious harm as a result of increased referral activity and workload pressures, leading to either a failing in policies / procedures, personnel or partnerships.	Ineffective safeguarding has potentially critical implications for individuals (vulnerable adults, responsible officers/Members), and the reputation of the organisation.	<p>Adult safeguarding alerts / referrals are managed in a timely manner.</p> <p>Head of Service role has been created and there is a fully staffed, dedicated Adult Safeguarding Team. Relevant training is provided to all staff involved in adult safeguarding, including Advanced Safeguarding Training and legal literacy training.</p> <p>The Teeswide Safeguarding Adults Board (TSAB) is the statutory body that sets the strategic direction for safeguarding and approves and updates all policies and procedures. HBC is represented on the Board and all sub groups.</p> <p>The Quality Assurance Framework (QAF) is completed by a number of peers from other local authorities and other statutory bodies, e.g. the Police. This is linked to the guiding principles of the Care Act.</p> <p>New legislation (Domestic Abuse Act) is now in place to help deal with the increase in domestic abuse.</p> <p>There are a range of multi-agency arrangements in place at Teeswide and local level to share information and support the safeguarding of vulnerable adults including:</p> <ul style="list-style-type: none"> • Multi Agency Risk Assessment Conference • Multi Agency Tasking & Coordination • Integrated Community Safety Team • Ensure all providers have up to date training for their staff in identifying, dealing with and reporting Safeguarding issues

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				
	POSSIBLE			AMBER 6	
	HARDLY EVER				

RESPONSIBLE OFFICER	John Lovatt – Assistant Director - Adult Social Care
DIVISION	Adult Social Care
DEPARTMENT	Adults and Community Based Services
DATE OF ASSESSMENT	October 2022

RISK TITLE:	Access to Leisure, Community and Preventative Services – Failure to engage the at risk population in preventative, cultural, leisure and community based activities could impact on demand led services.
--------------------	---

DETAILED DESCRIPTION OF CURRENT RISK:		
CAUSES - what could make it happen?	IMPLICATIONS - what impact would it have if it did?	EXISTING INTERNAL CONTROLS – what are we already doing to reduce the likelihood and/or impact of it happening?
<ul style="list-style-type: none"> • Unable to operate buildings due to lack of financial resource including capital investment. • Unable to operate buildings due to lack of staff resource. • Insufficient investment in the redevelopment of leisure and community assets. • Lack of investment in preventative services and financial resource being allocated to treatment/crisis/social care services. 	<ul style="list-style-type: none"> • Lack of investment could result in moth balling facilities or selling/leasing to other organisations. • Unable to retain high quality staff to support long term delivery of services. • Existing assets are ageing and in need of investment or replacing. Without investment it will be increasingly challenging to maintain an offer for the whole population. • Demand will increase and further resources will be committed to treatment / crisis responses rather than investing in prevention. 	<ul style="list-style-type: none"> • Planned maintenance programme. • External funding opportunities are being explored. • Social Capital opportunities are being explored • Empowering communities to create their own opportunities. • Working with VCS organisations to support the delivery of community priorities. • Demonstrating to internal and external partners the difference preventative work can make to the economy.

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

RESPONSIBLE OFFICER	Gemma Ptak – Assistant Director - Preventative and Community Based Services
DIVISION	Preventative and Community Based Services
DEPARTMENT	Adult and Community Based Services
DATE OF ASSESSMENT	September 2022

RISK TITLE:	Highways and Flood Defences – Failure to maintain the Borough Highway infrastructure and protect areas from flooding risks could impact on the economy and quality of life.
--------------------	--

DETAILED DESCRIPTION OF CURRENT RISK:		
CAUSES - what could make it happen?	IMPLICATIONS - what impact would it have if it did?	EXISTING INTERNAL CONTROLS – what are we already doing to reduce the likelihood and/or impact of it happening?
<ul style="list-style-type: none"> • Lack of investment in infrastructure. • Deterioration of the highway due to extreme weather. • Escalating costs for schemes. • Loss of key personnel. • Quality of work issues. • Storm intensity exceeding the design capacity of the drainage network. • Climate Change leading to more unexpected and severe weather events such as storm surges, heavy rainfall, etc. 	<ul style="list-style-type: none"> • Financial. • Reputation. • Legal. • Health and safety issues where infrastructure cannot be fixed or upgraded. 	<ul style="list-style-type: none"> • Established inspection regimes and policies for both highways and flood/coastal protection assets. • Regular monitoring meetings with insurance officers to assess position. • Regular review on inspection frequencies in conjunction with insurance section to determine policy outcomes. • Use HBC procurement process to ensure robust costs estimates. • Work closely with contractors to ensure deliverable schemes are developed. • Existing Transport Policy in Local Transport Plan. • Programme of installation of dropped kerbs. Programme of installation of low floor bus infrastructure. • Weather warnings provided by Met Office enabling advanced planning to be undertaken.

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LKELIHOOD	ALMOST CERTAIN				
	PROBABLE		AMBER 6		
	POSSIBLE				
	HARDLY EVER				

RESPONSIBLE OFFICER	Kieran Bostock – Assistant Director - Place Management
DIVISION	Place Management
DEPARTMENT	Neighbourhoods and Regulatory Department
DATE OF ASSESSMENT	October 2022

RISK TITLE:	Community Safety - Failure to provide a safer Hartlepool where residents and visitors can live free from crime, fear of crime and anti-social behaviour could impact on quality of life and tourism.
--------------------	---

DETAILED DESCRIPTION OF CURRENT RISK:		
CAUSES - what could make it happen?	IMPLICATIONS - what impact would it have if it did?	EXISTING INTERNAL CONTROLS – what are we already doing to reduce the likelihood and/or impact of it happening?
<ul style="list-style-type: none"> • CCTV service unable to operate without access to Civic Centre. • Lack of partnership approach by agencies. • Reduced resources within the police and fire authority. • Lack of scrutiny from Safer Hartlepool Partnership. 	<ul style="list-style-type: none"> • Financial. • Reputation. • Legal. 	<ul style="list-style-type: none"> • Other services could function with remote access to systems. • Footage could be viewed from other locations however cameras would be static. • Regular liaison with Police and Fire Brigade. • Joint working regularly carried out through the Hartlepool Community Safety Team. • All partner agencies work to same strategies in Safer Hartlepool Partnership. • Audit and Governance community safety statutory role.

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				
	POSSIBLE			AMBER 6	
	HARDLY EVER				

RESPONSIBLE OFFICER	Sylvia Pinkney - Assistant Director - Regulatory Services
DIVISION	Regulatory Services
DEPARTMENT	Neighbourhoods and Regulatory Department
DATE OF ASSESSMENT	October 2022

RISK TITLE:	Waste Management - Council are unable to collect and dispose of all household waste within existing financial resources.
--------------------	---

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

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

RESPONSIBLE OFFICER	Kieran Bostock – Assistant Director - Place Management
DIVISION	Place Management
DEPARTMENT	Neighbourhoods and Regulatory Services
DATE OF ASSESSMENT	October 2022

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Additional income sources introduced	Identify possible income sources that could offset the cost increases and share with elected members for consideration and approval.	Assistant Director – Place Management	December 2023

RISK TITLE:	Business Continuity - Failure to provide Council services as a result of disruption to the normal day to day activities
--------------------	--

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

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

RESPONSIBLE OFFICER	Corporate Management Team (Sylvia Pinkney - Assistant Director - Regulatory Services)
DIVISION	All
DEPARTMENT	All
DATE OF ASSESSMENT	October 2022

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Effective Business Continuity Group in place with regular reporting to CMT and escalation of concerns as required.	Review the effectiveness of the feedback mechanism between the Business Continuity Group and CMT.	Assistant Director – Regulatory Services	March 2023

RISK TITLE:	Economic Regeneration: Failure to encourage regeneration, support enterprise and improve development opportunities for new and existing businesses across the borough.
--------------------	---

DETAILED DESCRIPTION OF CURRENT RISK:		
CAUSES - what could make it happen?	IMPLICATIONS - what impact would it have if it did?	EXISTING INTERNAL CONTROLS – what are we already doing to reduce the likelihood and/or impact of it happening?
<ul style="list-style-type: none"> • Failure to secure capital/revenue funding to deliver future regeneration projects • Failure to deliver existing and future regeneration projects on time/budget • Impact of inflation on capital programme costs. • Failure for the BIS/HEC to meet their business/income targets and remain economically viable. • Failure of the Council to effectively engage with local businesses and offer appropriate advice and financial assistance. • Failure of the Tees Valley Combined Authority to effectively engage with local businesses and offer appropriate advice and financial assistance. • Failure of other publicly funded business support organisations to effectively engage and deliver appropriate advice and financial assistance. • Failure of the Council to develop and deliver activities, events and projects that directly contribute to the growth in the economy. 	<ul style="list-style-type: none"> • Legal and financial impacts relating to Council capital/revenue and external funding of regeneration projects and assets. • Reputational damage to the Council. • Adverse effect on local economy. 	<ul style="list-style-type: none"> • Ensuring the Council teams have adequate staff and resources to undertake duties effectively. • Close monitoring of the current Regeneration Programme to identify issues/constraints/obstacles and look to positively remedy. • Capital programme monitoring arrangements in place and capital contingency built in to 2022/23 MTFS. • Continued close working relationship with the Tees Valley Combined Authority and other business support organisations. • Yearly plan of economy related interventions/activities to be undertaken.

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				
	POSSIBLE			AMBER 6	
	HARDLY EVER				

RESPONSIBLE OFFICER	Bev Bearne - Assistant Director - Development and Growth
DIVISION	Development and Growth
DEPARTMENT	Resource and Development Department
DATE OF ASSESSMENT	October2022

RISK TITLE:	Housing - Failure to address the housing requirements of the borough and provide affordable, high-quality housing.
--------------------	---

DETAILED DESCRIPTION OF CURRENT RISK:		
CAUSES - what could make it happen?	IMPLICATIONS - what impact would it have if it did?	EXISTING INTERNAL CONTROLS – what are we already doing to reduce the likelihood and/or impact of it happening?
<ul style="list-style-type: none"> • Imbalance in the current housing stock with existing provision skewed towards terraced/low quality dwellings. • Lack of Council owned land that can be developed for additional affordable housing provision. • Non or stalled delivery of the allocated housing sites and associated infrastructure provision identified in the Local Plan. • Downturn in the local, regional, national housing market due to economic/political changes. • Developments in the Teesmouth and Cleveland Coast Special Protection Area (SPA) not being approved for planning because they cannot demonstrate that they are nutrient neutral. • Housing Needs of the population cannot be met through current provision 	<ul style="list-style-type: none"> • Inability of the Council to benefit from additional New Homes Bonus (subject to Government changes of this regime). • Inability of the Council to capture additional and higher value Council Tax. • Negative economic impact in terms pf physical job creation in the construction phase but also in providing attractive living environment for economically active people. • Reduced inward migration of economically active people and the risk of outward migration to more attractive settlements. 	<ul style="list-style-type: none"> • Adopted Local Plan which seeks to specifically address the current and future housing requirements of the Borough via allocating appropriate land and policies that control development. • Adopting a Housing Strategy which seeks to address the housing requirements of the borough and provide affordable, high-quality housing. • Memorandum of understanding agreed with Natural England on a range of mitigation for waste water discharges which will allow developments to proceed. • Undertaking a review of all local intelligence re: housing stock/ housing quality and housing needs

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				
	POSSIBLE			AMBER 6	
	HARDLY EVER				

RESPONSIBLE OFFICER	Bev Bearne - Assistant Director - Development and Growth Kieran Bostock - Assistant Director – Place Management Danielle Swainston Assistant Director – Joint Commissioning
DIVISION	Various
DEPARTMENT	Resources and Development, Neighbourhoods and Regulatory Services, Children’s and Joint Commissioning
DATE OF ASSESSMENT	November 2022

RISK TITLE:	Inflation - Increasing inflation leading to increased costs for goods and services resulting in overspend against allocated budgets, reduced level or standard of service delivery, longer waiting times for services or cuts to existing services.
--------------------	--

DETAILED DESCRIPTION OF CURRENT RISK:		
CAUSES - what could make it happen?	IMPLICATIONS - what impact would it have if it did?	EXISTING INTERNAL CONTROLS – what are we already doing to reduce the likelihood and/or impact of it happening?
<ul style="list-style-type: none"> Increased prices caused by rising production costs due to higher wages and increased fuel/energy prices etc. Increased demand / reduced availability of raw materials. International issues including the war in Ukraine. Contracts that allow for transfer of inflation costs to HBC as customer. Above inflation NLW increases. Outcome of Fair Cost of Care exercises in adult social care. 	<ul style="list-style-type: none"> Increased costs in delivery of capital schemes and increased levels of expenditure across the Council leading to overspend against allocated budgets. Reduced level / standard of service delivery. Longer waiting times for services. Cuts to services / redundancies. Reputational damage. Negative impact on the delivery of Council objectives. Significant increases in care fees. 	<ul style="list-style-type: none"> Timely and effective financial performance reporting and monitoring. Capital programme monitoring arrangements in place and capital contingency built in to 2022/23 MTFS. Ongoing discussions with existing contractors. Procurement options being considered to reduce costs where possible. Availability of earmarked reserves.

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				RED 12
	POSSIBLE				
	HARDLY EVER				

RESPONSIBLE OFFICER	Corporate Management Team (Denise McGuckin – Managing Director)
DIVISION	All
DEPARTMENT	All
DATE OF ASSESSMENT	October 2022

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Being prepared to respond quickly to future changes	Ongoing close monitoring of the impact of inflation pressures on the Capital programme and service delivery across the Council.	Director of Resources and Development	March 2023

RISK TITLE:	Adult Social Care - Workforce, system and financial pressures within the NHS may negatively impact on Adult Social Care and the broader Council by placing unrealistic expectations on Adult Social Care to assess and provide services to vulnerable and ill people earlier.
--------------------	--

DETAILED DESCRIPTION OF CURRENT RISK:		
CAUSES - what could make it happen?	IMPLICATIONS - what impact would it have if it did?	EXISTING INTERNAL CONTROLS – what are we already doing to reduce the likelihood and/or impact of it happening?
<ul style="list-style-type: none"> Increases in the number of Covid cases, affecting the public and the workforce. Significant number of flu cases affecting the public and the workforce. A prolonged period of inclement weather during the winter period. Further changes to the regulatory framework we operate in linked to hospital discharges, Mental Capacity Act. Further pressures impacting on services to people with a mental health need. Further pressures on the ambulance service and bed availability for people experiencing a mental health crisis. Any further pressures on funding of Adult Social Care. Recent developments such as the introduction of the 'Virtual Ward' may increase demand beyond our ability to respond in a timely way. 	<ul style="list-style-type: none"> Adult Social Care being expected to act beyond the scope of our legal powers (ultra vires). Adult Social care being required to manage clinical interventions rather than social care issues. If the performance of Adult Social Care was negatively affected by the causes as outlined, the impact would be significant on acute hospital availability and the availability of beds to meet crisis interventions for people with a mental health need. Increased pressure on family carers, leading to carer breakdown with the potential to lead to more placements required in care homes. Leading to greater expenditure for Adult Social Care. Increased waiting times for an assessment of need, leading to greater risk to 'life and limb' regarding the people we serve and their family carers. Negative implications on the finances of Adult Social Care with increased expenditure for the provision of domiciliary care expenditure as we may have to meet people's needs earlier when they are frailer and requiring more care. Increased stress on the workforce because of the a requirement to work quicker, especially in relation to hospital discharges and deal with patients and their family members with more complex needs. This increased stress may lead to staff absence regarding short term and long term unplanned leave. 	<ul style="list-style-type: none"> We have a winter plan shared with the NHS to agree contingencies in the event of increases in Covid or a prolonged period of inclement weather. We are developing a workforce strategy for Adult Social Care to enable the staff to access training and develop skills that will enable them to transfer to different parts of the Department in the event of a crisis situation. We have highlighted the potential financial pressures linked to the provision of health and social care services to the Corporate Management Team and agreed a short term financial strategy with the Pooled Budget Partnership Board. The funding linked to the Better Care Fund has been agreed for this financial year.

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

RESPONSIBLE OFFICER	John Lovatt
DIVISION	Adult Social Care
DEPARTMENT	Adult and Community Based Services
DATE OF ASSESSMENT	November 2022

ADDITIONAL CONTROLS TO BE PUT IN PLACE:			
ADDITIONAL CONTROL	WHAT NEEDS TO BE DONE? (ACTION)	LEAD OFFICER	DUE DATE
Expenditure for Winter Contingencies	Activity and related expenditure needs monitoring to identify pressures within the health and adult social care system to mitigate risks to the Department's and broader Council's financial position.	Assistant Director – Adult Social Care Head of Strategic Commissioning – Adult Social Care Head of Finance	January 2023
'Virtual ward'	A proposal has been agreed with the NHS in relation to this development which will need monitoring operationally and via the Commissioned Services Team.	Assistant Director – Adult Social Care Head of Strategic Commissioning	January 2023

RISK TITLE:	Tall Ships – Failure to deliver a successful Tall Ships Race 2023 leading to financial loss, adverse publicity and reputational damage.
--------------------	--

DETAILED DESCRIPTION OF CURRENT RISK:		
CAUSES - what could make it happen?	IMPLICATIONS - what impact would it have if it did?	EXISTING INTERNAL CONTROLS – what are we already doing to reduce the likelihood and/or impact of it happening?
<ul style="list-style-type: none"> • Supply chain issues preventing ability to secure essential contracts • Lack of visitors and low spend • Licence to occupy land is not in place • Insufficient marketing investment • Lack of HBC resources to adequately staff event planning and delivery • Inability to respond effectively in the event of a major emergency and inability to keep event running • Lack of sponsorship and corporate hospitality take up • Workforce turnover leading to loss of knowledge, experience and competence • Increased fuel costs • Lack of funding • Lack of volunteer support • Breach / non-compliance with health and safety legislation and practices. • Pandemic / lockdown • Traffic congestion and other issues 	<ul style="list-style-type: none"> • Non-delivery or cancellation of the expected event • Financial Loss • Reputational damage • Legal Challenge • Public dissatisfaction • Limited community engagement • Poor attendance 	<ul style="list-style-type: none"> • Tall Ships Risk Register in place that is actively monitored. • Individual risks each have a risk owner and an identified set of additional control actions to be progressed. • Close monitoring of top rated risks by the Tall Ships Strategic Group. • Individual workstream leads identified with responsibility for monitoring risks within their workstreams.

CURRENT RISK ASSESSMENT:					
RISK MATRIX		IMPACT			
		NEGLIGIBLE	MINOR	MAJOR	CRITICAL
LIKELIHOOD	ALMOST CERTAIN				
	PROBABLE				RED 12
	POSSIBLE				
	HARDLY EVER				

RESPONSIBLE OFFICER	Gemma Ptak – Assistant Director - Preventative and Community Based Services
DIVISION	Preventative and Community Based Services
DEPARTMENT	Adult and Community Based Services
DATE OF ASSESSMENT	November 2022