

Date: Thursday 14 November 2024 at 4.30 pm

Venue: Dunedin House, Conference Room 1, Columbia Drive, Thornaby,
Stockton-on-Tees, TS17 6BJ

Cllr Robert Cook (Leader of the Council)

Cllr Pauline Beall
Cllr Nigel Cooke
Cllr Lisa Evans
Cllr Clare Besford
Cllr Steve Nelson
Cllr Norma Stephenson OBE

AGENDA

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|----------|---|-------------------|
| 1 | Evacuation Procedure | (Pages 7 - 8) |
| 2 | Apologies for Absence | |
| 3 | Declarations of Interest | |
| 4 | Minutes | |
| | To approve the minutes of the last meeting held on 17 October 2024 | (Pages 9 - 20) |
| | <u>Leader of the Council – Cllr Bob Cook</u> | |
| 5 | Memorandum of Understanding between Stockton on Tees Borough Council and Teesside University | (Pages 21 - 32) |
| 6 | Procurement Plan / Higher Value Contracts | (Pages 33 - 36) |
| 7 | Minutes of Various Bodies | (Pages 37 - 66) |
| | <u>Regeneration and Housing – Cllr Nigel Cooke</u> | |
| 8 | Civil Penalty Policy | (Pages 67 - 112) |
| | <u>Adult Social Care – Cllr Pauline Beall</u> | |
| 9 | Local Accounts for Adults, Health and Wellbeing | (Pages 113 - 140) |

Health, Leisure and Culture – Cllr Steve Nelson

- 10 Care & Health Winter Planning Update Oct 2024 (Pages 141 - 158)**

Leader of the Council – Cllr Bob Cook

- 11 Powering our Future - Call in - Potential Referral to Cabinet from Executive Scrutiny Committee on 12 November 2024**

To Follow

Members of the Public - Rights to Attend Meeting

With the exception of any item identified above as containing exempt or confidential information under the Local Government Act 1972 Section 100A(4), members of the public are entitled to attend this meeting and/or have access to the agenda papers.

Persons wishing to obtain any further information on this meeting, including the opportunities available for any member of the public to speak at the meeting; or for details of access to the meeting for disabled people, please

Contact: Democratic Services Officer, Peter Bell on email peter.bell@stockton.gov.uk

KEY - Declarable interests are:-

- Disclosable Pecuniary Interests (DPI's)
- Other Registerable Interests (ORI's)
- Non Registerable Interests (NRI's)

Members – Declaration of Interest Guidance



Table 1 - Disclosable Pecuniary Interests

Subject	Description
Employment, office, trade, profession or vocation	Any employment, office, trade, profession or vocation carried on for profit or gain
Sponsorship	Any payment or provision of any other financial benefit (other than from the council) made to the councillor during the previous 12-month period for expenses incurred by him/her in carrying out his/her duties as a councillor, or towards his/her election expenses. This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.
Contracts	Any contract made between the councillor or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners (or a firm in which such person is a partner, or an incorporated body of which such person is a director* or a body that such person has a beneficial interest in the securities of*) and the council — (a) under which goods or services are to be provided or works are to be executed; and (b) which has not been fully discharged.
Land and property	Any beneficial interest in land which is within the area of the council. 'Land' excludes an easement, servitude, interest or right in or over land which does not give the councillor or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/ civil partners (alone or jointly with another) a right to occupy or to receive income.
Licences	Any licence (alone or jointly with others) to occupy land in the area of the council for a month or longer.
Corporate tenancies	Any tenancy where (to the councillor's knowledge)— (a) the landlord is the council; and (b) the tenant is a body that the councillor, or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/ civil partners is a partner of or a director* of or has a beneficial interest in the securities* of.
Securities	Any beneficial interest in securities* of a body where— (a) that body (to the councillor's knowledge) has a place of business or land in the area of the council; and (b) either— (i) the total nominal value of the securities* exceeds £25,000 or one hundredth of the total issued share capital of that body; or (ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the councillor, or his/ her spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners have a beneficial interest exceeds one hundredth of the total issued share capital of that class.

* 'director' includes a member of the committee of management of an industrial and provident society.

* 'securities' means shares, debentures, debenture stock, loan stock, bonds, units of a collective investment scheme within the meaning of the Financial Services and Markets Act 2000 and other securities of any description, other than money deposited with a building society.

Table 2 – Other Registerable Interest

You must register as an Other Registrable Interest:

- a) any unpaid directorships
- b) any body of which you are a member or are in a position of general control or management and to which you are nominated or appointed by your authority
- c) any body
 - (i) exercising functions of a public nature
 - (ii) directed to charitable purposes or
 - (iii) one of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union) of which you are a member or in a position of general control or management

Dunedin House Emergency Evacuation Procedure

In the event of an emergency alarm activation, everyone should immediately leave by the nearest available signed Exit route.

The main evacuation assembly point is the overflow car park, located across the road from Dunedin House.

Once there await further instructions.

- Do not re-enter the building under any circumstances without an “all clear” which should only be given by the Incident Control Officer.
- And please do not leave the area without permission.

Dunedin House Emergency Evacuation Procedure

CABINET

A meeting of Cabinet was held on Thursday 17 October 2024.

Present: Cllr Robert Cook (Leader), Cllr Pauline Beall (Cabinet Member), Cllr Nigel Cooke (Cabinet Member), Cllr Lisa Evans (Cabinet Member), Cllr Clare Besford (Cabinet Member), Cllr Steve Nelson (Cabinet Member) and Cllr Norma Stephenson OBE (Cabinet Member).

Officers: Mike Greene (CEO), Garry Cummings (DCE&F, T&P), Reuben Kench (DoCS,E&C), Majella McCarthy (DoChS), Ged Morton (DoCS), Carolyn Nice (DoA,H&W), Tara Connor (CS,E&C), Jane Edmonds, Marc Stephenson (AH&W), Vanessa Housley (ChS), Peter Bell, Geraldine Brown, Julie Butcher and Kirsty Grundy.

Also in attendance: Cllr Carol Clark (Chair of Children & Young People), Cllr Barbara Inman (Vice Chair of Children and Young People), Cllr Lynn Hall and Cllr Sylvia Walmsley

Apologies:

CAB/46/24 Evacuation Procedure

The evacuation procedure was noted.

CAB/47/24 Declarations of Interest

There were no declarations of interest.

CAB/48/24 Minutes

The minutes were approved and signed as a correct record.

CAB/49/24 Local Government and Social Care Ombudsman (LGSCO) Annual Complaints Report

Consideration was given to a report that provided the details of the Local Government and Social Care Ombudsman's annual review letter for the Council for 2023/24. There were 48 enquiries submitted to the Ombudsman during the year, 13 met the threshold for a detailed investigation by the Ombudsman. Of the 13 complaint investigations, 8 were upheld. All recommendations made by the Ombudsman, following their investigations, had been accepted and implemented by the Council. There was one formal public interest report that was published in 2023/24 relating to school transport.

A copy of the 2023/24 performance tables received from the LGSCO was attached as an appendix to the report. A useful guide to interpretation of the Ombudsman's statistics was available on the LGSCO website.

Comparative data of neighbouring authorities and CIPFA authorities was also attached to the report.

RESOLVED that the report which set out that the Council had fully complied with the recommendations from complaints investigated by the Ombudsman be noted.

CAB/50/24 Powering Our Future

Consideration was given to a report that provides an update on the Powering Our Future Programme including:

- Transformation Powering Our Future – proposals for new ways of working and recommended options for the following reviews:

- Waste Collection
- Fees and Charges – Car Parking
- Fees and Charges – School Meals
- Fees and Charges - Non-residential care charge
- Administration and Business Services – Courier Services
- Community Safety and Regulatory Services.

- Communities Powering Our Future:

- Building our intelligence, skills and experience
- Rolling out an Appreciative Inquiry approach
- Partnership working
- Effective communication and Proud to Care campaign.

- Partnerships Powering Our Future:

- Place Leadership Board
- Business Ambassadors Group.

- Colleagues Powering Our Future – implementation of the Workforce Development Strategy.

- Regeneration Powering Our Future – work is taking place to re-frame this Mission with a focus on Place Making. Further detail would be brought to a future Cabinet meeting.

The Powering our Future Programme continued to drive the Council plans to be a bold, brave and innovative Council and work with partners to make sure Stockton-on-Tees was a fair and equal place, where everyone is proud to live and work, where our communities flourish and people feel they belong.

Significant progress had been made against all the Missions in the Programme, supporting the Council in the planned approach to carefully manage resources over the longer term. This would see the Council create a new relationship with communities, while providing efficient services that offer value for money and are valued by residents.

The Council approach continued to be iterative, building over time, to engage communities and undertake thorough reviews. This can avoid the need to make short-term cuts, which can be damaging to services and the residents.

The report provided an update on each of the Missions, for Cabinet comment and approval. Regular reports to Cabinet would ensure that the member-led approach drives the development and delivery of Powering Our Future.

This Mission would identify new and innovative ways of working that are better for communities and more efficient.

In April 2024, Cabinet agreed the scope for each of the Transformation Reviews in Phase 1 of the Programme. These provided clarity on the objectives for each project, in alignment with the Council's Mission Statement.

The reviews had moved into Discovery and Design stage. This work had led to a comprehensive understanding of organisational challenges, to develop and refine ideas for transformation making use of research, data and intelligence.

As part of this process, the Council had and continued to carry out extensive engagement with Members and colleagues to ensure robust challenge and feedback in shaping the change. This included:

- Members and Colleagues Marketplace Events (providing information about all Phase1 reviews)
- Colleagues Community of Practice sessions (managing interdependencies between projects across the programme)
- Member Briefings
- Informal Member Engagement Group (a cross-party group met in August to inform fees and charges reviews)
- Scrutiny Committees (the Scrutiny Programme for 2024-25 has been designed and agreed to inform reviews where areas of policy change are anticipated)

The findings relating to an initial tranche of reviews had been concluded. Drivers for change along with options, proposals and recommendations for transformation are summarised below.

In addition to the areas below, progress had been made in relation to:

- Discharge to Assess / Reablement – a new way of working is being progressed that would see the council de-commission current provision and reallocate resources for a more joined up approach to reablement. This would focus on supporting more people to live independently through a single-provider approach that makes every contact count and would support high performance of the local system, which was acknowledged as one of the best in the county. This is estimated to save up to £500,000.
- Placement Sufficiency Strategy – this operational strategy sets out our approach to provide a range of accommodation and support services that:
 - Keep children with their families of origin, wherever it is safe to do so.
 - Provide children with alternative, nurturing homes if they need short, or long-term alternative care or support arrangements.
 - Enable our children and young people with disabilities to live an ordinary life.
- Introduction of new practice for Children's Services – this supports us in achieving the objectives set out as part of the placement sufficiency strategy and includes:
 - The creation of an Edge of Care Team designed to work intensively with individuals, siblings and families to maintain them in the family home rather than take them into care. The team has been successful in keeping children out of care, with 73 children and young people being supported by the team since January 2024.

- The establishment of the Social Work academy and International Recruitment to address recruitment and retention issues.

An email from the Yarm Ward Councillors (Councillors John Coulson, Dan Fagan and Andrew Sherris) regarding the proposed car parking charges at Yarm was read out to Cabinet by Councillor Lynn Hall).

RESOLVED that:-

1. The recommended options set out in the report in respect of the Waste and Recycling Reviews be approved:

- Introduction of charging for green waste from 1st April 2025
- Introduction of weekly food waste and recycling service from 1st April 2026 with the acquisition of associated vehicles and the development of a Waste Transfer Station
- Cease the provision of the Community Recycling Centres with immediate effect.

2. The removal of the maximum charge for non-residential care be approved.

3. An increase in the charges to schools for the provision of traded school meals service to reflect the true cost of the service provided be approved; and increase the per meal charge for Council maintained schools to £3 per meal to reflect the increased cost of provision be approved.

4. The introduction of Free School Meals auto-enrolment as detailed in paragraphs 71 and 72 of the report be approved.

5. The changes to car parking charges in Stockton and Yarm Town centres be approved; including the removal of the first hour free parking and introduction of the rate of £1.50 for three hours stay in short stay car parks, alongside an uplift to long stay car parking charges.

6. The operational changes in respect of Administration and Business Services, Community Safety and Regulatory Services set out in paragraphs 76 to 81 be noted.

7. The changes proposed will contribute £375,000 in 24/25, £2,296,000 in 25/26 and £4,644,000 in 26/27 towards the budget gap estimated within the budget report to Council in February 2024, at the same time as delivering improved outcomes, set out in the detail of the report be noted.

8. The progress updates for other aspects of the Transformation Mission outlined in paragraph 10 of the report be noted.

9. The progress updates for all other Missions of the Powering our Future Programme be noted.

Cabinet Recommended to Council:-

10. Council approve £4.3m prudential borrowing for the acquisition of food and recycling waste receptacles, green waste bins, site preparation costs for a Waste Transfer Station and resurfacing of Wellington Square car park.

CAB/51/24 The Stockton-on-Tees Plan 2024-2028

Consideration was given to a report that provided Cabinet the final draft of the Stockton-on-Tees Plan 2024-2028, for consultation ahead of consideration by full Council in November 2024.

The Stockton-on-Tees Plan had been developed to reflect the drivers and priorities for the Council, partners and most importantly communities.

A high-level analysis of data had been carried out to give the Council a picture of performance and to set a baseline.

The voice of communities had also informed the development of a draft Vision for the Borough:

Stockton-on-Tees is home – a warm and friendly place, where we welcome others and come together as a single community. We are a diverse and inspiring Borough, culturally rich and with confidence in a future that we can all share and be proud of. At the economic heart of Tees Valley, we are a dynamic, safe and healthy place, where everyone can grow and succeed. We work together to reduce inequalities and remove barriers to opportunity. We are Team Stockton-on-Tees.

Five priority areas were proposed as the focus of activity to turn the Vision into reality. These are:

- The best start in life to achieve big ambitions
- Healthy and Resilient Communities
- A Great Place to Live, Work and Visit
- An Inclusive Economy
- A Sustainable Council

Further detail on each of these priorities was attached to the report.

RESOLVED that:-

1. The Stockton-on-Tees Plan (attached at Appendix 1 of the report) be approved for stakeholder consultation.
2. The Stockton-on-Tees Plan (attached at Appendix 1 of the report) be recommended for agreement by Council on 20 November 2024, subject to any comments received through community consultation.
3. Any minor amendments as the result of consultation are reviewed and agreed by the Leader of the Council, and that an overview of comments be provided to all Members of Cabinet.
4. If there are any comments requiring substantive change to the draft Plan, they are brought to a future Cabinet meeting before consideration by full Council.
5. Subject to approval of the Stockton-on-Tees Plan by full Council, Cabinet receive annual updates on progress and achievements. Alongside this, Select Committees receive regular updates on progress relevant to their remit.

CAB/52/24 'Going for Gold Family Fun Day'

Consideration was given to a report on Here to Help 'Going for Gold Family Fun Day'.

As part of the Council's commitment to tackle inequality and poverty in the Borough a series of Here to Help events were planned throughout 2024/25. The report provided an overview of the successful summer Here to Help 'Going for Gold Family Fun Day', summarising key outcomes and learning which would be to be incorporated into future planning. Attached at Appendix 1 of the report was a detailed post event briefing.

CAB/53/24 Scrutiny Review of Narrowing the Gap in Educational Attainment

Consideration was given to a report Scrutiny Review of Narrowing the Gap in Educational Attainment.

The Children and Young People Select Committee had completed a review examining Narrowing the Gap in Educational Attainment. A copy of the Select Committee's report and recommendation was attached to the report.

Based on the top challenges identified by Stockton Primary and Secondary Schools, the Select Committee decided to focus their work on two key factors impacting on educational attainment:

- Attendance
- Communication (vocabulary, oracy and literacy)

The overall aim of the project was to work collaboratively with schools and partners to explore what good practice already exists and what could still be done to support of families, establish innovative ways of working and make better use of resources through a renewed approach.

An Appreciative Inquiry (AI) approach was adopted for the review. This approach promoted a positive mindset by:

- valuing strengths rather than focusing on deficiencies
- identifying what is valued and effective and building on that
- involving all the stakeholders to work together to agree solutions
- sharing the responsibility with all stakeholders for making the solutions happen

RESOLVED that Stockton-on-Tees Borough Council works collaboratively with partners and key stakeholders to deliver the following shared objectives:

1.Improve attendance

Support schools to improve attendance:

- Encourage school leaders' use of the Attendance Self Evaluation Toolkit to identify what is working well, and areas which could be developed
- Promote an inclusive and relevant curriculum - where a young person wants to attend
- Work with the Team Around the School Service.

- Ensure that schools are equipped to deal with health issues.
- Identify individual barriers to attendance to better target support and intervention with specific reference to young carers

2. Forge positive relationships

Ensure that school culture proactively forges positive relationships between pupils, staff and parent/ carers:

- Promote respectful behaviours from all partners including teachers.
- Involve parents in school life.
- Extend opportunities for enhanced transition.

3. Improve communication

Design, deliver and support parent/carer communication strategies:

- Use new technologies and apps.
- Implement communication strategies early ensuring that good communication is embedded across the school community.
- Consider single points of contact and how best to communicate (not relying on technology alone).
- Offer parent/ carer engagement training for all staff.

4. Identify and support young carers

- Raise awareness of young carer identification and support for pupils.
- Extend the range of opportunities for young carers to link with others socially.

5. Managing emotions

Strengthen environment and opportunities for pupils to manage emotions:

- Engage with the Healthy Schools Programme and Healthy Settings Programme
- Design and delivery of courses to meet pupil need and support parents, with specific reference to:
 - managing behaviour effectively.
 - supporting mental health and wellbeing – especially to de-escalate heightened behaviour or to reduce stress levels.
 - positive parenting skills.
- Strengthen the use of pupil voice to support development of school environments which better support them to manage their emotions.

6. Refine teaching strategies

Further refine teaching strategies to improve lesson enjoyment, encourage speaking and listening and strengthen understanding also ensuring that teaching is tailored to the needs of the individual child.

7. Developing speaking and listening skills

- Ensure the curriculum and school clubs provide opportunities to develop speaking and listening skills, for example through debating clubs.
- Raise awareness of regional and national opportunities to develop speaking and listening skills

8. Extend enrichment offer

Strengthen and extend curriculum enrichment offer which better matches pupils needs and interests:

- Extend enrichment to include kick-boxing; boxing; coding; cooking clubs; sports clubs and story.

- Extend and promote the Tees Active Offer to include First Aid, paddle boards (team building) and extend offer within school holidays.
- Engage with the Healthy Schools Programme and Healthy Settings Programme

9. Celebrate achievement

Extend the range of opportunities to celebrate achievement including recognition for out of school activities and engagement with local, regional and national awards and competitions.

10. Enhance curriculum development

Work with partners and labour markets, making more explicit links to future employment.

- Innovate a local curriculum.

11. Strengthen understanding of career pathways

Clarify pathways to careers early in school life:

- Design and delivery of courses to clarify current career pathways for pupils and parents, including vocational careers and options other than traditional routes.
- Employment & Training Hub to link with schools to notify parents of apprenticeships events.
- Promote aspirational/motivational approaches.
- Strengthen links between schools/parents/careers advisor.
- Share best practice regarding "careers" evenings/ events in primary and secondary schools.
- Invite parents into school who have unusual careers.
- Educate parents on opportunities post 16.

12. Strengthen transition arrangements

Ensure that transition arrangements better fits bespoke pupil needs, with specific reference to vulnerable pupils:

- Ensure plans are put in place well in advance of any transition.
- Consider transition to post-16 and post-18/19 as well as primary and secondary and school readiness.
- Consider transition between year groups as appropriate.

13. Enhance skills to respond to special needs

Increase range of opportunities to enhance skills in mainstream schools to respond to Special Educational Needs (SEN), Child Protection Plans (CPP) and Emotionally Based School Avoidance (EBSA):

- Share best practice of integrating SEN pupils into mainstream schools.
- Promote vocational opportunities.

14. Review behaviour policies

Review behaviour policies to ensure that they are appropriate and proportionate and that inclusion policies align with behaviour policies:

- What happens when a young person is removed from the classroom. Where do they go? What teaching takes place?

15. Embed and extend pastoral support

Embed and extend pastoral support in schools targeted to need.

- Engage with the Healthy Schools Programme and Healthy Settings Programme.

16. Strengthen support for parent/carers to develop language and reading skills
Design and deliver courses and activities to develop reading and language skills.

- Promote Functional English Courses.
- Invite parents/ carers to support reading groups at primary school.
- Promote reading through free Enrichment/after school clubs.
- Ensure parents understand the importance of reading.
- Use school social media to help parents/carers learn
- Ensure materials are easy read/jargon free to involve parent/carers.
- Key messages being shared from antenatal contact.
- Work with Read Easy Charity - helping people learn to read.

17. Review cost of living responses to diminish impact

Review Cost of Living responses to diminish its impact, with specific reference to period poverty, food poverty and school uniform:

- Work with Child Poverty Network.
- Work with schools to better promote/communicate Cost of Living interventions.
- Encourage all schools to 'Poverty Proof the School Day'.

CAB/54/24 School Performance 2023-24

Consideration was given to a report that presented a summary of provisional headline performance data for the academic year 2023-24 in all Key Stages for all providers across the Borough.

Primary schools continued to perform well. 95% of schools were good or better (including previous judgements of schools not inspected since academy conversion). This was an improvement on last year and above average for both the region and England as a whole. This reflected the sustained impact of the work of the Education, Inclusion and Achievement Service in monitoring, challenging, intervening and supporting the sector.

Although outcomes had not returned to pre-pandemic levels, outcomes for Stockton-on-Tees pupils in the primary sector were mostly above provisional national average for 2024 on every measure at age-related expectations. However, the proportion of pupils achieving the higher standards at the end of KS2 had fallen below the provisional national average.

Secondary outcomes were above 2024 national averages in all areas. These results had been self-reported by the schools and academies themselves.

Post-16 outcomes (A*-E) continued to perform well. The area where they were not above national averages is in the top scores (A* and B) which reflected the regional picture.

Once again, many schools in the Borough had seen much higher than usual numbers of pupils joining the school during the academic year, many from out of area. For example, there had been 108 transfer requests for new arrivals from Nigeria, and 109 from Middlesbrough. However, 27% of requests (374) were deemed 'parental preference' with children moving from one Stockton school to another.

RESOLVED that:-

1. The report and standards and achievements across the Borough be noted.

2. The strong overall performance of Stockton-on-Tees schools at both primary and secondary phases be noted.

CAB/55/24 Childcare Sufficiency Assessment 2024

Consideration was given to a report on the Childcare Sufficiency Assessment 2024.

The report outlined how the Local Authority (LA) was meeting its duty to secure sufficient childcare and included information about the supply of and demand for childcare, details on any gaps in provision and an action plan on how they would be addressed.

The Childcare Act 2006 and 2016 and the associated statutory guidance for local authorities on Early Education and Childcare – June 2018, requires Stockton-on-Tees Borough Council (the Local Authority) to secure sufficient childcare, as far as is reasonably practicable and within available resources, for working parents, or parents who are studying or training for employment, for children aged 0 – 14 (or up to 18 for disabled children). Local authorities were also required to report annually to elected council members on how they are meeting this duty.

The next steps would include:

The sufficiency assessment would be placed on the Stockton Information Directory once it had been through the Cabinet process, so it was available for parents/carers, childcare providers, and employers.

Work would continue to assess sufficiency of places to ensure that parents/carers were able to access an early years funded place or a wraparound childcare place.

Further work would be undertaken on meeting the needs of vulnerable groups to ensure they can access high quality, affordable childcare.

Work with childcare providers and schools to either expand or create places in areas of where there is high demand.

RESOLVED that the report be noted.

CAB/56/24 Peer Assurance Challenge of Adult Social Care by the LGA and CQC Assurance Update

Consideration was given to a report on the Peer Assurance Challenge of Adult Social Care by the LGA and CQC Assurance Update.

Stockton-on-Tees Borough Council (the Council) commissioned an independent peer assurance challenge by the LGA to assess the ability of the adult social care service to deliver good care and support to people, as well as preparedness for a Care Quality Commission (CQC) assessment. On 23rd September, the Council received formal notification of the CQC onsite assessment, which would take place in the week commencing 25th November for 3-4 days.

The LGA assurance peer challenge completed in July 2024, mirrored the CQC assurance methodology and, whilst it did not provide a rating as the Council would receive from CQC, it did provide feedback on strengths and areas for improvement.

Overall, the LGA assurance peer challenge feedback was very positive and identified some strong practice, a supportive and committed workforce and effective leadership and partnership arrangements. It also identified scope for developing our emerging approaches for co-production, recording and record-keeping and to support evidencing of strengths-based working.

The current action plan (developed in November 2023) had been updated to reflect this feedback and would guide the service to make further improvements in its planning and delivery of care and support to the people of Stockton-on-Tees.

Appendix 1 of the report summarised the results and findings of the peer assurance challenge.

RESOLVED that the report be noted and agree with the recommendations and actions as defined by the Local Government Association.

CAB/57/24 Customer Service Excellence

Consideration was given to a report on Customer Service Excellence.

Customer Service Excellence (CSE) was a national quality mark that sought to reward organisations that demonstrated a customer-focused commitment to all that they do. Certification to the Customer Service Excellence standard was through a rigorous assessment process which included a review of documents that demonstrated compliance against each element of the standard and an on-site visit to observe practical evidence.

There were 5 criteria that must be satisfied with a number of elements within each. Compliance plus was awarded for elements where particular strength is demonstrated.

Accreditation operated on a 3-year cycle, with a full assessment in year 1 followed up by a 12-month and a 24-month annual review to ensure standards were maintained. Stockton Borough Council had been accredited with Customer Service Excellence since 2010 and had demonstrated continuous improvement through the assessment cycles.

The report detailed the outcomes of the 24-month review which took place June 2024, and confirmed that the Council had retained full certification, achieving full compliance across all 57 aspects of assessment with compliance plus for 17 elements, a further increase of 1 from the 2023 annual review.

Details included how Powering our Future (POF) themes had been prevalent in conversations between the assessor and staff and, in written evidence/examples submitted for assessment. It was positive to note that 8 out of the 17 Compliance Plus points achieved this year, reference how POF themes and projects had demonstrated CSE.

The report included information about the removal of the CSE accreditation body, UKAS from future external CSE Assessments and details the future delivery CSE Staff Awards, STARs Awards and Think Smart, Think Big scheme.

AGENDA ITEM

REPORT TO CABINET

DATE 14 NOVEMBER
2024

REPORT OF THE
CORPORATE
MANAGEMENT TEAM

CABINET DECISION

Leader of the Council – Councillor Bob Cook

Memorandum of Understanding between Stockton on Tees Borough Council and Teesside University

SUMMARY

This report sets out a Memorandum of Understanding between Stockton on Tees Borough Council and Teesside University. It establishes a framework for collaboration between our organisations and confirms our commitment to partnership working.

REASONS FOR RECOMMENDATION

Signing the Memorandum of Understanding with Teesside University will reinforce our commitment to joint working. It identifies a set of shared priorities that we will work together to deliver, enabling us to maximise our collective impact to deliver positive outcomes for our communities and our economy.

RECOMMENDATION

Cabinet is recommended to:

- Approve the Memorandum of Understanding (MOU) attached at Appendix 1.

DETAIL

1. The MOU builds on a strong history of collaboration between our two organisations and reinforces our shared ambitions for the social and economic future of our area.
2. The MOU marks a new phase in our partnership, cementing shared goals and key areas of activity. It is grounded in our organisational objectives and existing partnership commitments, including those set out through the Care and Health Innovation Zone Bard and Place Leadership Board. As such, it also confirms our shared commitments with partners including the University Hospitals Tees.
3. The MOU identifies a set of shared objectives and underpinning projects or initiatives that will drive our shared success. The initial list of activity is not exhaustive, and

each Party will identify a single point of contact to ensure that this MOU remains a live document, that delivers meaningful impact.

Shared Objectives

4. Central to our shared objectives, is delivering our Vision for a Tees Valley Care and Health Innovation Zone, specifically:
 - Developing skills infrastructure and provision that are fit for purpose to support a successful Care and Health sector, and removing barriers to access training
 - Ensuring that Innovation, Research & Development drives cutting edge service delivery in Tees Valley, and establishes a regional reputation for excellence
 - Reducing Health Inequalities by taking a strength-based approach to working with communities, with a focus on Early Help and Prevention
 - Using research, data analysis and intelligence to inform better decision making that delivers meaningful impact.

Governance

5. Following agreement by Stockton-on-Tees Borough Council's Cabinet and Teesside University's Executive, delivery of this MOU will be overseen by the Chief Executive of Stockton-on-Tees Borough Council and the Vice Chancellor of Teesside University.
6. Quarterly Management meetings will take place to ensure progress and impact with annual reporting of progress and achievements to the Council's Cabinet and University's Executive. Governance will also align with, and not duplicate other arrangements, including: Care and Health Innovation Zone Board and Place Leadership Board.

Next Steps

7. It is recommended that Cabinet approves the MOU to enable formal signature by:
 - Leader of Stockton on Tees Borough Council
 - Chief Executive of Stockton on Tees Borough Council
 - Teesside University Executive.
8. The MOU will run for 5 years from the date of signature

Consultation and Engagement

9. There has been consultation and engagement across both organisations to confirm the content of the MOU, along with partners referred to in the Action Plan. This reflects wider engagement undertaken by both organisations to inform corporate priorities.

COMMUNITY IMPACT IMPLICATIONS

10. Successful delivery of the Care and Health Innovation Zone will result in employment opportunities for local residents, with potential to house 9,000 direct jobs. It will also meet local housing need, with potential to accommodate 3,600 houses and a range of new residential care facilities.
11. Activity can also help to reduce health inequalities and directly address population need for Care and Health provision.
12. A shared research agenda can enable us to better understand the needs of communities and the impact of activity. Throughout the lifetime of the MOU the Council will give consideration to the potential impact on any protected characteristics and the needs of diverse groups during any project activity associated with the MOU so that people can access fairer opportunities and equal services.
13. A CIA will be undertaken for project activity as it is brought forward.

CORPORATE PARENTING IMPLICATIONS

14. This report and its recommendation do not have any corporate parenting implications

FINANCIAL IMPLICATIONS

15. There are no direct financial implications as a direct result of this report. Any financial implications associated with individual project activity will be dealt with separately as required.

LEGAL IMPLICATIONS

16. This Memorandum of Understanding is a non-legally binding agreement

RISK ASSESSMENT

17. The MOU has been developed to mitigate the risk that our organisations do not work together to maximise our resources to deliver shared objectives. Associated governance arrangements (as set out at paragraphs 5 & 6) will oversee effective delivery.

WARDS AFFECTED AND CONSULTATION WITH WARD / COUNCILLORS

18. The MOU relates to activity in all parts of the Borough. Specifically, the Care and Health Zone falls within the Mandale and Victoria Ward. It should also be noted that the Zone will have an impact across Stockton on Tees and the wider Tees Valley.

BACKGROUND PAPERS

16. Care and Health Innovation Zone – Vision document.

Name of Contact Officer: Geraldine Brown
Post Title: Head of Policy, Development & Public Affairs
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Email Address: geraldine.brown@stockton.gov.uk

Appendix 1

Stockton-on-Tees Borough Council and Teesside University Memorandum of Understanding: Cover note

The MOU between Stockton-on-Tees Borough Council and Teesside University builds on a strong history of collaboration between our organisations and reinforces our shared ambitions for the social and economic future of our area.

It marks a new phase in our partnership, as we cement our shared goals and key areas of activity that will turn our vision into reality. It is grounded in our organisational objectives and existing partnership commitments, including those set out through the Care and Health Innovation Zone Board and Place Leadership Board. These also see us working with a wider set of partners, including University Hospital Tees and the Integrated Care Board. Further details of joint commitments are set out in the Action Plan at Annex 1.

It is our intention that this MOU strengthens and deepens our bi-lateral partnership and our shared work with stakeholders, providing a platform to develop and expand areas of joint work over time, and enabling us to achieve more together.

The MOU identifies a set of shared objectives and underpinning projects or initiatives that will drive our shared success. We recognise that the initial list of activity is not exhaustive, and each Party will identify a single point of contact to ensure that this MOU remains a live document, that delivers meaningful impact.

MEMORANDUM OF UNDERSTANDING

Between Teesside University of Middlesbrough TS1 3BA and Stockton Borough Council of Stockton TS17 6BJ (“the Parties”)

Date this Memorandum is to take effect: [INSERT DATE]

1. This Memorandum of Understanding (“MOU”) recognises the intention of the Parties to maintain and build on existing partnership arrangements, co-operate in a broad range of areas, work together for mutual gain, and maximise our collective impact on for communities and the economy of our area. The Parties may seek to encourage and develop collaborative activities in various ways, including but not limited to the following broad objectives;
 - Developing skills infrastructure and provision that are fit for purpose to support a successful Care and Health sector, and removing barriers to access training
 - Ensuring that Innovation, Research & Development drives cutting edge service delivery in Tees Valley, and establishes a regional reputation for excellence
 - Reducing Health Inequalities by taking a strength-based approach to working with communities, with a focus on Early Intervention and Prevention
 - Using research, data analysis and intelligence to inform better decision making that delivers meaningful impact.
2. Attached to this MOU as Appendix 1 is a draft (non-exhaustive) action plan that sets out potential opportunities for collaboration under the above objectives that reflect the Parties’ expertise and ambitions. The Parties are however mindful of external factors that may impact on the realisation of these opportunities, most notably the current lack of certainty on the future implementation of the NHS long term workforce plan and related external regulatory requirements that may impact the decision for Teesside University to offer the discipline of medicine within its healthcare provision. The decision to proceed with this MOU is in this context.
3. Where the Parties identify opportunities to progress between them that can have a credible or beneficial impact on their respective ambitions, including those set out in Annex 1, they agree to discuss between them how to take these opportunities forward without any legal commitment to do so at that stage. Separate legally-binding agreements will be required to take forward any specific projects and no Party can be required to make any financial commitment to the other unless such legally-binding agreement for that specific project has been executed. In the course of discussions therefore, the Parties may, before the entering of a legally binding contract, wish to document the understanding reached on financials so that each Party can make an informed decision on whether to proceed further with the project, including whether to enter into a legally-binding agreement.
4. Each Party recognises the value of this MOU in promoting its own ambitions. However, any marketing material/activity which includes reference to the other Party must be sent to that Party and be approved in writing before use. Both

Parties will also agree any shared use of communications materials produced to promote activities relating to this MOU. Each Party agrees not to use the name, emblem and/or logo of the other Party without the other Party's prior consent in writing.

5. This MoU may be terminated at any time by either Party informing the other Party of this in writing (email sent to the Party's signatory to this MOU, or other nominee responsible for leading discussions under it, will suffice for this purpose). Unless it has been terminated earlier, this MOU will naturally end after a period of [5 years] from the date it was entered into (stated above), unless the Parties agree there is value in it continuing for a further period.
6. This MOU signifies a statement of intention to consider collaboration where opportunities arise in the interests of both Parties, but is not a legally binding document and has no legal effect.
7. Neither Party accepts any responsibility for any reliance placed by the other Party on this MOU and the Parties agree that neither Party will make any claim against the other for any loss or damage including but not limited to any consequential damages or lost profits, arising from any discussions, actions taken in reliance on this MOU or for termination of any discussions under this MOU.

Signatures to the Agreement

[INSERT PRO VICE-CHANCELLOR
SIGNATORY]

[INSERT PARTNER SIGNATORY]

_____ Date: _____
For and on behalf of Teesside University

_____ Date: _____
For and on behalf of Stockton Borough
Council

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Appendix 1: Stockton Borough Council/Teesside University MoU – Shared objectives and potential areas of collaboration/projects

Shared objectives

The organisational objectives and shared vision for the Tees Valley Care and Health Innovation Zone are a starting point for agreeing our shared objectives. Below is an initial outline of potential areas of collaboration/projects. It is intended as an outline and a more detailed action plan will be developed by Stockton-on-Tees Borough Council (SBC) and Teesside University (TU) leads and their respective teams.

Initiatives/areas of collaboration

Objective 1: Developing skills infrastructure and provision that are fit for purpose to support a successful Care and Health sector, and removing barriers to access training		
Aims	Actions	Lead partner & Stakeholders
Pursue ambitions to secure a Medical School in the region	SBC to support TU to make the case to Government and the General Medical Council around the need and impact of a new Medical School in the region.	Lead: TU Stakeholders: SBC and University Hospital Trust
	Work with partners across the care, health and skills landscape to ensure a coordinated approach to understanding future skills needs	Lead:TU Stakeholders: via the C&HIZ Workstream, Chaired by Stockton Riverside College Principal
	Jointly undertake preliminary feasibility work on the spatial requirements for locating a potential medical school and associated supporting infrastructure within the Care and & Health Innovation Zone	Leads: TU/SBC Stakeholder: University Hospital Trust
Objective 2: Ensuring that Innovation, Research & Development drives cutting edge service delivery in Tees Valley, and establishes a regional reputation for excellence		
Aims	Actions	Lead partner & Stakeholders

Create a new Innovation Hub as part of the Tees Valley Care and Health Innovation Zone, which will have a clear focus on supporting agreed innovation gaps in the health and social care sector.	Feasibility study to confirm physical space requirements including for business incubation/acceleration space and support required from the surrounding ecosystem	Leads: SBC Stakeholders: via the C&HIZ workstream, Chaired by TU
	Work with research partners, business and through commissioned consultancy support to identify innovation gaps for the focus of the centre and wider ecosystem.	Lead: TU Stakeholders: via the C&HIZ workstream, Chaired by TU
Develop programmes of activity to support business incubation and growth, targeted and aligned to areas of innovation potential and local demand for Health and Social Care services.	Provide business and employability support, including through our Employment & Training Hub offer, targeted at the Care & Health Sector.	Lead: SBC Stakeholders: via the C&HIZ workstream, Chaired by a business leader
	Explore opportunities to leverage external resource, working together to influence the use of associated funding streams such as UKSPF (or successor funds) and Adult Education Budget.	Lead: SBC Stakeholders: via the C&HIZ workstream, Chaired by a business leader
	Engage with business, continue to deliver and influence UKSPF and other programme delivery.	Lead: TU Stakeholders: via the C&HIZ workstream, Chaired by a business leader
	Explore how Launchpad offer could be adapted to provide specialist support for Care & Health businesses	Lead: TU Stakeholders: via the C&HIZ workstream, Chaired by a business leader
Objective 3: Reducing Health Inequalities by taking a strength-based approach to working with communities, with a focus on Early Intervention and Prevention		
Aims	Actions	Lead partner & stakeholders
Maximise the resources and facilities in local areas, to improve wellbeing,	Leverage the existing strengths in communities to drive positive change,	Lead: SBC

engagement and reduce reliance on council services.	leading to increased collaboration, co-production and community-led initiatives.	
Maximise the use of intelligence, sharing data between organisations to inform decisions and target activity focused on reducing health inequalities.	<ul style="list-style-type: none"> • Utilise our shared data to support research and development of interventions and innovative practice to improve health outcomes for our communities and reduce inequalities • Jointly contribute and develop the evidence base for what works to reduce health inequalities within the borough and across the Tees Valley 	Leads: SBC / TU
Objective 4: Using research, data analysis and intelligence to inform better decision making that delivers meaningful impact		
Aims	Actions	Lead partners & stakeholders
Develop our shared research agenda to inform a targeted approach and evaluate impact	Deliver place-based research to support regional growth, development and regeneration through a collaborative approach that brings together policymakers, communities, businesses and academics	Leads: TU / SBC
Collaborate to deliver on our shared ambitions, focusing on: <ul style="list-style-type: none"> • Empowering and Inclusive Places • Imaginative and Innovative Places • Sustainable and Resilient Places. 	Undertake research that seeks to close regional education and skills gaps through participatory projects and identify the potential for the development of shared skillsets to increase capacity in the workforce.	Leads: TU / SBC
	Undertake research will support work the development of sustainable regional and organisational growth strategies that	Leads: TU / SBC

	balance environmental, social, and economic considerations.	
Address current and future challenges facing society today through impactful research, innovation and knowledge exchange	SBC to identify policy and research challenges, as well as supporting research placements or work experience to increase the impact of policy-led research.	Lead: SBC
	TU to share research strengths and seek funding opportunities that can support as policy-led evidence base. Alongside this, opportunities for placements, internships and other work experience opportunities will be explored.	Lead: TU

AGENDA ITEM

REPORT TO CABINET

14 NOVEMBER 2024

REPORT OF CORPORATE MANAGEMENT TEAM

CABINET / KEY DECISION

Leader of the Council - Lead Cabinet Member – Councillor Bob Cook

PROCUREMENT PLAN / HIGHER VALUE CONTRACTS

SUMMARY

This report seeks approval from Cabinet for the award of planned higher value contracts where the value exceeds the limit on officer delegated authority and which are either funded within the approved MTFP/ Capital Programme or are subject to a bid for external funding.

REASONS FOR RECOMMENDATIONS/DECISIONS

To enable Cabinet to exercise its strategic oversight of higher value planned procurement projects, in accordance with the updated constitution.

RECOMMENDATIONS

That Cabinet

1. approves the contract listed in Annex 1;
2. gives authority to the relevant Director or Assistant Director to make the specific contract award decision and any subsequent contract variation, annual inflationary uplifts (where allowed in the contract terms and conditions) and extension decision in accordance with the delegations listed in Annex 1.

DETAIL

1. The constitution defines a range of decisions that require a specific Cabinet approval, the financial threshold for which is set at a level of £500k or more. Annex 1 lists contracts that exceeds the financial threshold and have not otherwise been delegated to officers.

FINANCIAL IMPLICATIONS

2. The report includes higher value contracts expected to be awarded in the current financial year. The expenditure committed as a result of these tenders/ quotes is planned and remains within the Council's approved budget/MTFP or is subject to a bid for external funding which will ensure that at the point of contract award funds are available within the MTFP.

LEGAL IMPLICATIONS

3. Notwithstanding Cabinet approval it remains the responsibility of officers to ensure that the correct processes within Contract Procedure Rules have been followed and that where applicable the Public Contracts Regulations 2015 are complied with.
4. Where the value of goods, services or works exceeds the threshold at which the procurement process must comply with the Public Contracts Regulations either a tender exercise or the use of a suitable framework agreement will comply with the Regulations.

RISK ASSESSMENT

5. This procurement is categorised as low to medium risk. Existing management systems and activities are sufficient to control and reduce risk.

Annex 1

Contract Title: Contract Hire of 3 x 12ton Road Sweepers	
<ol style="list-style-type: none">1. The Council will call-off from ESPO framework 218_21 Contract Hire/Lease of Specialist Vehicles agreement for the contract hire of 3 x 12ton road sweepers in replacement of 3 vehicles which are currently coming to the end of their contract hire.3. The new vehicles will be required in 2025 although the contract will be awarded approximately 12 months in advance to allow for manufacture of the vehicles.4. Each vehicle costs in the region of £47,300 per year to hire depending on specification.5. Annual spend for all 3 sweepers will be circa £142,000 on a 5 year contract (£710,000) with the potential to extend for 2 x 12 month periods.6. Potential total value of the full 7 year contract is £994,000	
Key Decision: Yes	Funding within MTFP: Yes
Delegated Officer: Reuben Kench, Director of Community Services, Environment and Culture	
Checks and Balances: In consultation with other appropriate officers for professional advice to include finance and procurement.	

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AGENDA ITEM

REPORT TO CABINET

14 NOVEMBER 2024

REPORT OF CORPORATE MANAGEMENT TEAM

CABINET DECISION

Leader of the Council – Councillor Bob Cook

MINUTES OF VARIOUS BODIES

SUMMARY

The attached minutes are for consideration by Cabinet.

REASONS FOR RECOMMENDATIONS/DECISIONS

To enable Cabinet to view the minutes of various bodies.

RECOMMENDATIONS

That the minutes of the meetings detailed in the appendices be received.

DETAIL

1. In accordance with the Council's Constitution or previous practice the minutes of the meeting of the bodies indicated below are submitted to members for consideration:-

TVCA Cabinet – 27 September 2024
SSP – 17 July 2024

COMMUNITY IMPACT IMPLICATIONS

2. This report is not the subject of any Community Impact Implications.

CORPORATE PARENTING IMPLICATIONS

3. This report is not the subject of any Corporate Parenting Implications.

FINANCIAL IMPLICATIONS

4. Where applicable, as specified in the minutes.

LEGAL IMPLICATIONS

5. Where applicable, as specified in the minutes.

RISK ASSESSMENT

6. This report is categorised as low to medium risk.

WARDS AFFECTED AND CONSULTATION WITH WARD/COUNCILLORS

7. Not applicable.

Name of Contact Officer: Jonathan Nertney
Post Title: Head of Democratic Services
Email Address: jonathan.nertney@stockton.gov.uk



TEES VALLEY COMBINED AUTHORITY CABINET

Friday, 27 September, 2024 at 10.00am

Teesside Airport Business Suite, Teesside International Airport, Darlington

These Minutes are in draft form until approved at the next Cabinet meeting and are therefore subject to amendments.

ATTENDEES	
Members	
Mayor Ben Houchen (Chair)	Tees Valley Mayor
Councillor Brenda Harrison	Leader Hartlepool Borough Council
Councillor Stephen Harker	Leader, Darlington Borough Council
Mayor Chris Cooke	Leader, Middlesbrough Council
Councillor Alec Brown	Leader, Redcar and Cleveland Borough Council
Councillor Bob Cook	Leader, Stockton-on-Tees Borough Council
Officers	
Julie Gilhespie	Group Chief Executive, Tees Valley Combined Authority
Gary Macdonald	Group Director of Finance and Resources, Tees Valley Combined Authority
Emma Simson	Acting Group Chief Legal Officer and Monitoring Officer, Tees Valley Combined Authority
Tom Bryant	Director of Infrastructure, Tees Valley Combined Authority
Alan Weston	
Denise McGuckin	Managing Director, Hartlepool Borough Council
Richard Horniman	Director of Regeneration, Middlesbrough Council
John Sampson	Chief Executive, Redcar and Cleveland Borough Council

Mike Greene	Chief Executive, Stockton on Tees Borough Council
Ian Williams	Chief Executive, Darlington Borough Council
Sally Henry	Governance Officer, TVCA
Apologies	
Helen Kemp	

	<p><u>CHAIR'S OPENING REMARKS</u></p> <p>The Chair opened the meeting and welcomed everyone in attendance.</p>
TVCA 16/24	<p>APOLOGIES FOR ABSENCE</p> <p>Apologies for absence were noted as above.</p>
TVCA 17/24	<p>DECLARATIONS OF INTEREST</p> <p>Mayor Houchen declared a non-pecuniary interest in his capacity as Chair of STDC Board, HDC Board and MDC Board.</p> <p>Councillor Brown declared a non-pecuniary interest in his capacity as a member of the STDC Board and Freeport Board.</p> <p>Councillor Harrison declared a non-pecuniary interest in her capacity as a member of the HDC Board.</p> <p>Mayor Cooke declared a non-pecuniary interest in his capacity as a member of the MDC Board.</p>
TVCA 18/24	<p>MINUTES OF PREVIOUS MEETING</p> <p>RESOLVED that the minutes of the meeting held on 29 July 2024 were confirmed as an accurate record.</p>
TVCA 19/2024	<p>MAYORS UPDATE</p> <p>The Chair introduced a report providing a general update on the key activities of the Mayor and Combined Authority since the last Cabinet meeting.</p> <p>Cabinet members were invited to ask questions or comment on the report.</p>

	<p>No comments or questions were received.</p> <p>RESOLVED that Cabinet noted the update.</p>
<p>TVCA 20/2024</p>	<p>TEES VALLEY REVIEW INCLUDING ASSURANCE FRAMEWORK</p> <p>Cabinet was presented with a report which provided the outcome of the work undertaken in respect of the Tees Valley Review.</p> <p>Following publication of the Tees Valley Review, TVCA and its constituent local authorities undertook an extensive review of its governance processes in response to the recommendations set out in the report. The report presented to Cabinet proposed changes to governance processes and the Constitutions of both South Tees Development Corporation (STDC) and Tees Valley Combined Authority (TVCA) itself.</p> <p>Cabinet was asked to consider these changes to allow the Tees Valley Mayor to formally respond to the Secretary of State for the Ministry of Housing, Communities and Local Government (formerly the Department for Levelling Up, Housing and Communities) by the end of September 2024.</p> <p>The Group Chief Executive advised Cabinet members of the governance structure which had supported the response to the Secretary of State.</p> <p>It was noted that work had been ongoing for 18 months. The Group Chief Executive expressed thanks to officers at TVCA and STDC, statutory officers from the constituent local authorities (CLA's) for their input into the statutory officer working groups, committee members and colleagues from CIPFA and various legal firms for the work they had contributed to the process.</p> <p>Cabinet was advised that the timeline of events was as follows:-</p> <ul style="list-style-type: none"> • 19 February Hartlepool Development Corporation received an update at its statutory meeting; • 29 February Emma Simson met with the Monitoring Officers on the Statutory Officer Working Group (SOWG); • 29 February SOWG to discuss the recommendations;

	<ul style="list-style-type: none"> • 29 February STDC Board received a briefing at its statutory meeting; • 6 March TVCA Audit and Governance (A&G) Committee received a briefing at its statutory meeting; • 6 March SOWG met to discuss the recommendations and review progress; • 8 March Freeport Board received a briefing at its formal Board meeting; • 14 March Overview and Scrutiny (O&S) Committee received a briefing at its statutory meeting; • 14 March Middlesbrough Development Corporation received an update at its statutory meeting; • 15 March Cabinet received a briefing at its statutory meeting. At this meeting Cabinet decided that rather than bring the final report to its AGM in June, the proposals were to be considered by all statutory committees before submission to Cabinet and that sufficient time was needed to ensure that the work was done thoroughly. Therefore, the final report was to be presented to Cabinet in September; • 17 March Secretary of State responded to the Mayor's letter and requested that he writes back within six months to report on progress; • 26 March a briefing was given to the Tees Valley Strategic Resources Group (TVSRG) • 27 March Julie Gilhespie and Emma Simson met with Ed Hammond from the Centre for Governance and Scrutiny (CFGs) to brief him on the work that they would do with the O&S committee; • 27 March Emma Simson met with the Monitoring Officers from across all five local authorities;
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	<ul style="list-style-type: none"> • 10 April Julie Gilhespie emailed the relevant civil servant at DULUC for an update on the process for government considering recommendation 5; • 15 April a response to that email was received setting out an expectation of an update as soon as possible after the local elections; • 15 April a briefing of progress was given to TVCA cabinet members in a private session; • 17 April a briefing of progress was given to TVCA O&S committee members in a private session; • 19 April a briefing of progress was given to TVCA and STDC A&G committee members in a private session; • 22 April the O&S sub-group met with Ed Hammond to discuss the scrutiny protocol and to agree the basis of the work he would do for them; • 30 April a briefing was given to TVSRG; • 2 May Mayoral election was held; • 7 May Endeavour Law was appointed to review the JV Agreements; • 8 May a proposal draft was received from CFGS; • 9 May SOWG met to discuss progress on the recommendations; • 20 May a briefing was given to TVCA cabinet members in private session; • 20 May CIPFA was commissioned to undertake a review of internal audit; • 22 May General Election was announced; • 24 May a briefing was given to TVCA and STDC A&G committee members in private session;
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	<ul style="list-style-type: none"> • 24 May Julie Gilhespie met with Mark Edgehill from the LGA to discuss the proposal for their work; • 28 May a briefing was given to TVSRG; • 28 May a briefing was given to TVSRG; • 28 May a briefing was given to O&S members in private session; • 31 May a meeting was held with representatives of CIPFA in relation to the review of the internal audit arrangements. Over the following weeks CIPFA met with senior staff, members of A&G and external auditors. These meetings included individual interviews with Gary Macdonald, Julie Gilhespie and Emma Simson; • 11 June Gary Macdonald met with CFGS; • 11 June Julie Gilhespie met with CFGS; • 13 June a written briefing was given to TVCA A&G statutory meeting it the meeting was inquorate so did not go ahead; • 17 June a briefing was given to STDC A&G statutory meeting; • 19 June Emma Simson met with CFGS; • 27 June a briefing was given to TVCA AGM. New appointments were made to STDC Board using the new process set out in the response to the review; • 2 July a letter was received from Neil Schneider the appointed STDC Board representative outlining his views. (This letter was considered by STDC Board at its meeting on 26 September) • 2 July a briefing was given to TVSRG; • 3 July a briefing was given to TVCA O&S committee at its statutory meeting • 4 July General Election held
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- **5 July** a briefing and site tour was given to the incoming STDC Board which included a briefing on the TVR;
- **9 July** SOWG met to review and update on progress;
- **12 July** a briefing was given to TVCA and STDC A&G members in private session;
- **12 July** Julie Gilhespie met with Rob Whiteman CBE, Chair of the LGA panel;
- **15 July** a briefing was given to members of O&S in private session;
- **18 July** a briefing was given to STDC Board at its statutory meeting;
- **19 July** a briefing was given to TVCA cabinet at its statutory meeting;
- **29 July** Julie Gilhespie met with Adele Gritten from the LGA panel
- **31 July** CFGS report was received;
- **5 August** confirmation from Endeavour Law was received that the JV agreements were legally binding;
- **5 August** Julie Gilhespie wrote to the JV partners in respect of recommendation 22;
- **6 August** CIPFA report on Internal Audit was received;
- **7 August** Bevan Brittan independent advice to O&S was received;
- **7 August** a response to the letter of 5 August was received from JV partners;
- **8 August** Julie Gilhespie met with the JV partners;
- **9 August** Julie Gilhespie sent a further letter to the JV partners;
- **9 August** draft cabinet report sent to LGA panel for consideration;
- **12 August** SOWG met to finalise its work;

- **15 August** Emma Simson contacted MHCLG for an update on recommendations 4 and 5 and confirmed that a lack of response would be noted if not received;
- **19 August** draft papers (excluding responses to recommendation 22) were sent to members of all committees;
- **21 August** a briefing was given to TVCA cabinet members in private session;
- **21 August** a briefing was given to Tees Valley Chief Executive's meeting;
- **3 September** letter and summary agreements received from Endeavour Law regarding its review;
- **4 September** the final proposals (excluding recommendation 22) were considered by O&S at its statutory meeting;
- **5 September** the final proposals (excluding recommendation 22) were considered by STDC A&G at its statutory meeting;
- **16 September** the final proposals (excluding recommendation 22) were considered by the Business Board at its meeting;
- **17 September** the final proposals (excluding recommendation 22) were considered by TVCA A&G committee
- **17 September** a formal response to recommendation 22 was received from the JV partners;
- **17 September** the response to recommendation 22 was shared with all committees and the Business Board;
- **19 September** a response was received by the BB;
- **25 September** the response to recommendation 22 was considered by members of O&S at an informal meeting;
- **26 September** the response to recommendation 22 was considered by members of TVCA A&G in an informal meeting;

- **26 September** the final response including recommendation 22, was considered by STDC Board;
- **27 September** the final response was to be considered by TVCA Cabinet;
- **30 September** The LGA panel were scheduled to meet with TVCA executive officers to plan the work.

Cabinet was advised that Helen Kemp was to head up the work with the LGA and had experience as a LGA Peer Reviewer.

The Tees Valley Combined Authority Cabinet was asked to:

- i. **CONSIDER** the report of the TVCA Overview and Scrutiny Committee set out in Appendix 23;
- ii. **CONSIDER** the report of the TVCA Audit and Governance Committee set out in Appendix 22;
- iii. **CONSIDER** the comments from the Tees Valley Business Board as detailed in Paragraphs 23-26 of this Report;
- iv. **CONSIDER** the views of the STDC Board which will be received following its meeting on 26 September 2024; they did not make any further comments
- v. In respect of Recommendations 4 and 5, **NOTE** that guidance has not been received by HMG;
- vi. In respect of Recommendations 1-3, 6-20 and 24-28 **APPROVE** (individually) the approach and resultant amendments to the TVCA and STDC Constitutions, Assurance Framework, and associated regulations.
- vii. In respect of Recommendation 21, **APPROVE** the summary document produced by Endeavour Law;
- viii. In respect of recommendations 22 and 23, **NOTE** the outcome of the negotiations and **APPROVE** the proposed changes to the terms of the Teesworks JV agreement; JG stressed we have fulfilled the recommendation but we haven't embedded the changes into legal documents but this will be done if approved by Cabinet and final documents will come back to a future Cabinet

- ix. **NOTE** the required changes to staffing and **APPROVE** the appointment of an Operations Director for TVCA and a single Chief Operating Officer for Middlesbrough and Hartlepool Development Corporations;
- x. **NOTE** that this report will form the basis of the Tees Valley Mayor's formal response to the Tees Valley Review;
- xi. **DELEGATE** to the Group Chief Executive in consultation with the Monitoring Officer and s73 Officer the authority to implement the required amendments to the documentation to secure the agreed changes based on the response of the Secretary of State; and
- xii. **NOTE** the revised TVCA Constitution as well as the Revised Joint Venture Agreement will come back to Cabinet for formal approval.

The Chair invited Councillor Nelson (Chair of Overview and Scrutiny Committee) to present the views of Overview and Scrutiny Committee.

Councillor Nelson's comments were as follows:-

"At the outset I'd like to record my thanks to the governance, scrutiny and legal officers Emma, Guy and Connor for the expertise and support they've given this new Chair in what has been a hectic but rewarding period. I thought it was only politicians who sent emails at 6am and 11pm?"

The Committee welcomes the opportunity to respond to the recommendations arising from the Tees Valley Independent Review.

The Committee met on Wednesday, 4 September 2024 to consider and agree its response. It was agreed that the focus of the meeting should be on recommendations in relation to overview and scrutiny and then to consider any other recommendations, as appropriate.

A summary of the key points that were discussed at the Committee meeting is included in the report to Cabinet, attached as appendix 23. The Committee asks that Cabinet carefully considers the feedback provided when agreeing its final response to HM Government.

In particular, the Committee expressed concern that it had not been receiving reports and accounts from STDC despite constitutional provision for this. I understand Cabinet weren't receiving them either. The Committee

is understandably keen to receive this information to help identify whether any further scrutiny activity is required.

In relation to the report from the Centre for Governance and Scrutiny (CfGS), the Committee highlighted an improved working relationship between members and officers, particularly in terms of changes to the approach to scrutiny in supporting the Committee's aims. In respect of the CGS report the Committee fully engaged with the review and agrees in full with its stated principles and actions.

The Committee did however express disappointment that a response from the joint venture partners had not been provided in time for the Committee meeting. An informal Committee meeting was subsequently arranged, which took place earlier this week for the Committee to consider its response.

At the informal Committee meeting and in communications from members subsequently a number of members expressed concern at the limited number and nature of the proposed concessions from the JV partners with others thinking they represented a good deal. Accepting that there was never going to be unanimity of views on this matter ultimately the Committee feels that it is important to look to the future. Therefore the Committee's focus going forward will be to scrutinise the implementation of the agreement and to ensure that the promised outcomes in relation to developments, job creation, business rates etc are not only delivered but delivered within the stated timescales. This approach being seen as the best one available to ensure the best possible value for money outcomes for the taxpayer.

In terms of tracking progress, the Committee has already agreed to receive a report on recommendation tracking at its November Committee meeting. The initial focus is to review progress made against recommendations arising from scrutiny reviews in 2023/24. This approach is to be extended to include a secondary focus on recommendations associated with the independent review."

The Chair thanked Councillor Nelson and the Overview and Scrutiny Committee for their consideration over many months.

Emma Simson advised Cabinet that the STDC Audit and Governance Committee reported verbally to STDC Board and were satisfied that their views had been accurately reflected in the STDC comments.

Councillor Nicky Walker, Vice Chair of TVCA Audit and Governance Committee attended Cabinet to provide the views of the Audit and Governance Committee.

Comments were as follows:

"The Audit and Governance Committee welcomes the opportunity to respond to Cabinet on the recommendations arising from the Tees Valley Independent Review.

An overview of the key points that were discussed at the Committee meeting is included in the report and minutes to Cabinet, attached as appendix 22. The Committee asks that Cabinet carefully considers the feedback provided when agreeing its final response to HM Government.

The Committee met on Tuesday, 17 September 2024 to consider and agree its response. It was agreed that the focus of the meeting should be on recommendations in relation to audit and governance and then to consider any other recommendations, as appropriate.

The key points arising from the Committee meeting on 17 September 2024 are as follows:

- Members are keen to ensure that there is regular feedback to the Committee on progress made against the recommendations arising from the Tees Valley Independent Review. Reporting arrangements will need to be agreed by the Committee and the work programme updated accordingly.*
- In relation to the CIPFA report, the Committee requests that it be provided with regular updates on progress made against the 22 recommendations contained in the report. An action plan is to be presented to the Committee to enable it to assess the level of progress made against each of the recommendations and to identify whether further action is required.*
- The Committee discussed appointments to Mayoral Development Corporation Boards. **(recommendation 16 refers)** It was noted that the appointment process was set out in legislation with Board members recommended by the Mayor and approved by TVCA Cabinet. The Committee considered there to be a perceived conflict of interest with the current arrangement, which provided for the Mayor to serve as Chair of the Boards and TVCA Cabinet. The Committee recommends that consideration be given to the appointment of a Chair other than the Mayor, to avoid any perceived conflict of interest.*

- *The Committee expressed disappointment that a response from the joint venture partners had not been provided in time for the Committee meeting. Since the Committee only received its response from the JV partners on the evening of 18 September 2024, there was insufficient time available to convene a formal meeting of Audit and Governance Committee, prior to Cabinet.*
- *It was therefore decided to convene an informal Committee meeting on Thursday, 25 September 2024 to consider its position, solely in relation to the response from the JV partners.*
- *Members welcomed the opportunity to meet informally to consider the response from the JV partners, although due to the inevitable short notice only a small number were able to attend and there was some concern that the Committee only had a limited opportunity to undertake a detailed assessment. Members also considered that since it was an informal Committee meeting any recommendations would need to be presented and approved at a formal meeting of the Committee before they could be submitted to Cabinet for further consideration.*
- *Members agreed that it would be beneficial to consider key aspects of the JV partners response at a future Committee meeting. In doing so Members also emphasised the importance that the Committee receives regular reports and updates to assess the level of progress made against key audit and governance actions.*

Thank you for the opportunity to feed back to Cabinet on behalf of the Committee and I am happy to take questions."

The Mayor requested that his thanks to the Committee be put on record.

Siobhan McArdle, the Chair of the Business Board, advised Cabinet that the Business Board met on the 16th September and comments are recorded in the Cabinet paper. On behalf of the Business Board she expressed her thanks the officers of the organisation and stated that she has seen at first hand the pressure the officers have been under over the last 6 months.

She also requested an opportunity for Business Board representation at future meetings of the Overview and Scrutiny Committee.

The Business Board had not received the comments from JV partners at the time of their meeting on 16th September but reserve the right to comment.

The Business Board are concerned about the negative effect adverse media has had on inward investment and the Business Board would like to see us move forwards as a region now and drive growth across the Tees Valley.

The Mayor thanked the Chair of the Business Board and members of the Business Board for their feedback.

Members were provided with an opportunity to comment or ask questions. Councillor Harrison commented that a huge task had been undertaken and we need to acknowledge the amount of work that members and officers had put into this review. That she hoped that we were in a position that people were more trusting and had a better overview. Also, that we were more transparent and open and can move forward with creating jobs.

Councillor Brown commented on the amount of work that had been undertaken and that we need to focus on creating jobs. He asked what had been done to address the “culture” of the organisation as evidenced in the report by the Centre for Governance and Scrutiny. He was advised that the work of the Local Government Association was invaluable in embedding all the work into the organisation. The expectation was that training was to be provided for members and officers.

Councillor Brown suggested that the training could take place at locations across the Tees Valley and not just at TVCA offices. That the same approach could be applied to Cabinet meetings.

Mayor Cooke did not consider it to be a training issue, rather a one-way flow of information. Cabinet members were briefed but not involved in the process.

He also expressed the view that the TVCA portfolios had limited significance.

The Chair advised that the process for responding to the Tees Valley Review recommendations was agreed by Cabinet at the start of the process. The process was not imposed on Cabinet members. Councillor Harker agreed that he had been part of the process, although he felt briefed rather than involved. Cabinet members had a responsibility to ensure these types of issues were addressed. Public perception had played a huge part and it was important to demonstrate a different approach. Potential investors needed to know that there had been change for the

	<p>better. He expressed the view that it made no sense to renegotiate as a contract had been entered into. The recommendation was unhelpful as it was a legal contract.</p> <p>Councillor Bob Cook asked whether it was possible for Cabinet members to work with the LGA on the peer review as Cabinet made collective decisions. The Group Chief Executive advised that a request would be made to the LGA when they meet on Monday and the outcome reported back.</p> <p>Mayor Cooke commented that he was unhappy with the level of involvement he has with the Combined Authority as a Portfolio Holder. He was advised that Emma Simson is going to make links between Portfolio Holders and Portfolio Leads and TVCA.</p> <p>Councillor Harrison commented that she was satisfied with her level of involvement as Portfolio Lead for Creative Place and worked closely with officers.</p> <p>Mayor Cooke enquired how amendments to the Constitution were agreed. It was advised that amendments to the Constitution need to be agreed by Cabinet. He queried reference to the section on the mayoral veto on decisions and was advised that this was to remain unchanged. The Acting Group Chief Legal Officer and Monitoring Officer undertook to confirm the legal position in relation to the mayoral veto.</p> <p>ES provided Cabinet members with the opportunity to consider and agree its response to any specific areas and feedback that had been identified at recent Board and Committee meetings. Key areas were addressed in the reports from Board and Committee meetings to Cabinet, which included a point about a perceived conflict of interest in relation to the Mayor's role as Chair of TVCA Cabinet and South Tees Development Corporation. There were no further comments.</p> <p>RESOLVED that Cabinet agreed the recommendations within the report.</p>
<p>TVCA 20/24</p>	<p>SCRUTINY PROTOCOL</p> <p>Cabinet was advised that at the Overview and Scrutiny Committee meeting on 14 March 2024, members considered a briefing paper on the Scrutiny Protocol. The Scrutiny Protocol was non-statutory guidance to be considered as supplementary to statutory guidance and relevant legislation. It sets out examples of good practice and key principles to be applied for ensuring effective scrutiny.</p>

Following consideration of the briefing paper, the Overview and Scrutiny Committee agreed to establish an all-member Scrutiny Protocol Sub-Committee for the purposes of exploring the Scrutiny Protocol in greater detail with a view to potentially implementing all aspects of the Scrutiny Protocol.

The Chair of the Overview and Scrutiny Committee then presented the findings of the Committee.

“Thank you for the opportunity to present the Scrutiny Protocol to Cabinet on behalf of the Overview and Scrutiny Committee.

Cabinet will note from the report that the Committee has considered the Scrutiny Protocol in some detail.

The protocol guidance is statutory in nature and its full implementation has been highlighted by both the previous and present Government as a prerequisite for more devolved powers and possible increased funding so we all have a vested interest in ensuring the protocol is adopted and implemented as quickly as possible.

The recommendations relating to how the protocol will be implemented are predicated upon the committee accepting in full the principles and actions detailed in the Centre for Governance and Scrutiny report.

Whilst there is acknowledgement by the Committee that significant progress has been made in addressing some of the key principles contained in the Scrutiny Protocol, there is still much to do, for example the establishment of a regular public Mayor’s Question Time. A combination of the CGS review and the Scrutiny Protocol also gives us the opportunity to reframe the relationship between the Overview and Scrutiny Committee and the Mayor, Executive, Cabinet, development corporations, and other

committees in a more structured and organised way. One in which each is clear about their scrutiny role and their relationship to each other.

This fresh “critical friend” approach will ensure that the Overview and Scrutiny function will be optimised and at the end of the day effective scrutiny is beneficial not only to those being scrutinised but also ultimately to the residents in the Tees Valley.

Full details of the key principles and recommendations can be found in the Scrutiny Protocol, which is attached to the report.

I have pleasure in presenting the Committee’s report and recommendations to Cabinet to fully implement all aspects of the Scrutiny Protocol.”

Members were given an opportunity to comment or ask questions.

The Mayor thanked Councillor Nelson for attending and presenting the views of the Overview and Scrutiny Committee.

Councillor Harrison advised that was incumbent on the constituent local authorities to ensure they nominated members with the appropriate skills.

Cabinet members discussed that remunerating members of the Overview and Scrutiny Committee was not something they were generally in favour of.

The Group Chief Executive advised that a White Paper on devolution was to be published later in the year. Cabinet members agreed to defer a decision on that element of the Scrutiny Protocol until the outcome of the White Paper was known.

Councillor Harker commented that there was an opportunity for Independent Remuneration Panel to consider remuneration for members of Overview and Scrutiny Committee, although the Panel was likely to recommend waiting until the White Paper was published.

The Governance and Scrutiny Manager advised that there was an expectation that all elements of the Scrutiny Protocol were to be adopted.

	<p>The Tees Valley Combined Authority Cabinet were asked to note :</p> <ul style="list-style-type: none"> i. the contents of the report and appendices ii. that Overview and Scrutiny Committee recommends to Cabinet implementation of all aspects of the Scrutiny Protocol; <p>RESOLVED that Cabinet approves all elements of the Scrutiny Protocol with the exception of remuneration of members, which is to be deferred to a future Cabinet meeting once the White Paper on devolution has been published.</p>
<p>TVCA 21/24</p>	<p>GOVERNANCE AND APPOINTMENTS</p> <p><i>Appendix 1 to this report was not for publication by virtue of paragraphs 1 (information relating to any individual) and 2 (information which was likely to reveal the identity of any individual) of schedule 12A of the Local Government Act 1972.</i></p> <p>The Chair advised that the appendix to this report was confidential so if the details were to be discussed, then members of the press and public would need to be excluded.</p> <p>The Group Chief Executive introduced a report which detailed a number appointments for agreement and confirmation by Cabinet.</p> <p>Members were given an opportunity to comment or ask questions.</p> <p>No comments or questions were received.</p> <p>Members were advised that if the appointments were approved, the appendix to this report was to be published on TVCA’s website after the meeting.</p> <p>RESOLVED that Cabinet:</p> <ul style="list-style-type: none"> i. APPROVED the appointment of the Group Chief Legal Officer and Monitoring Officer as detailed in paragraph 6 of the report; ii. APPROVED the appointments to the Independent Remuneration Panel as detailed in paragraph 10 of the report; iii. APPROVED the appointment of the proposed Member on Hartlepool Development Corporation Board as detailed in paragraph 14 the report;

	<p>iv. APPROVED the appointment of the substitute Member on the Hartlepool Development Corporation Board as detailed in paragraph 19 of this report;</p> <p>v. APPROVED the appointment of the substitute Member on the Middlesbrough Development Corporation Board as detailed in paragraph 24 of this report;</p> <p>vi. APPROVES the appointment of members to the Hartlepool Development Corporation Audit and Governance Committee as detailed in paragraph 30 of this report;</p> <p>vii. APPROVES the appointment of a Chair of Hartlepool Development Corporation Audit and Governance Committee, as detailed in paragraph 31 of the report;</p> <p>viii. APPROVES the appointment of members to the Middlesbrough Development Corporation Audit and Governance Committee as detailed in paragraph 37 of this report;</p> <p>ix. APPROVES the appointment of a Chair of Middlesbrough Development Corporation Audit and Governance Committee, as detailed in paragraph 38 of this report;</p> <p>x. APPROVES the appointment of the Councillor as referred to in paragraph 40 from Redcar and Cleveland Borough Council on to the Tees Valley Combined Authority Audit and Governance Committee;</p> <p>xi. APPROVES the appointment of Councillor Clare Besford to the Transport for the North Scrutiny Committee; and</p> <p>xii. APPROVES the appointment of the Councillor as referred to in paragraph 43 from Redcar and Cleveland Borough Council on to the South Tees Development Corporation Audit and Governance Committee.</p> <p>xiii. APPROVES the appointment of a replacement member for Chris Harrison on Freeport Board, as detailed in paragraph 48 of this report.</p>
<p>TVCA 22/24</p>	<p>TRANSPORT PROGRAMME UPDATE</p> <p>Cabinet received a report from the Director of Infrastructure providing an update on the transport programme.</p> <p>The report included:</p> <ul style="list-style-type: none"> • Details of the transport capital investment programme comprising Transforming Cities Fund, City Region Sustainable Transport Settlements 2022-2027 (CRSTS1) and 2027-2032 proposed allocation (CRSTS2), together with other funding which TVCA has

	<p>been able to secure to support the delivery of the Strategic Transport Plan (2020-2030).</p> <ul style="list-style-type: none"> • Details of how the Bus Service Improvement Plan (BSIP) revenue funding awarded to TVCA has been used to support the aspirations of the Tees Valley Enhanced Bus Partnership and deliver the BSIP actions. <p>Cabinet approval was sought to continue the Wheels to Work scheme whilst developing a new programme of activity to overcome barriers to employment.</p> <p>Members were given an opportunity to comment or ask questions.</p> <p>Mayor Cooke enquired whether there was any further information regarding the CRSTS2 funding.</p> <p>The Chair confirmed that he had raised this with the Secretary of State and had been advised that it was under review and that there may be a reduction in funding. If this was the case then the process for prioritisation of schemes was to be approved by Cabinet.</p> <p>Councillor Brown asked about East Cleveland Rail and was advised that TVCA were working closely with officers at Redcar and Cleveland. The Director of Infrastructure was to brief him separately if required.</p> <p>The Chief Executive at Stockton Borough Council enquired whether Growth Plans could be discussed at a future Cabinet and was advised that there was an intention to report back to the next scheduled Cabinet meeting.</p> <p>RESOLVED that Cabinet:</p> <ol style="list-style-type: none"> i. Noted the update on the development of the transport capital investment programme as set out in paragraphs 1-3 and detailed in Appendix 1. ii. Noted the delegated decisions taken by the Director of Infrastructure to approve Bus Service Improvement Plan (BSIP) funding for the 2023/24 and 2024/25 funding periods as set out in paragraphs 4-7 and detailed in Appendix 2.
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	<p>iii. Approved the extension of the Wheels 2 Work scheme for up to twelve months until 30 September 2025 at a cost of £218,076, as outlined in paragraphs 8-10 and Appendix 3, whilst a new programme to overcome barriers to employment is developed.</p>
<p>TVCA 23/24</p>	<p>QUARTER 1 BUDGET REPORT AND MEDIUM-TERM FINANCIAL PLAN UPDATE</p> <p>Cabinet was presented with a report which provided an update on the financial position for the period ending 30 June 2024 and a revised Medium-Term Financial Plan (MTFP).</p> <p>Mayor Cooke raised a query relating to the Adult Skills budget and said that providers had been encouraged to seek growth in their allocations for 2024/25 academic year. Additional funds have not been awarded and as a result some providers now have serious financial pressures. He was advised that some providers have gone outside of their contractual agreements and the financial pressures they now had were as a result of this. Siobhan McArdle confirmed she and Mayor Houchen had met with the FE providers in August and that the matter was currently being resolved by Helen Kemp Director of Business Solutions.</p> <p>Cllr Bob Cook as portfolio lead and Siobhan McArdle agreed to pick this up after the meeting and report back to Mayor Cooke.</p> <p>RESOLVED that Cabinet noted the contents of the report.</p>
<p>TVCA 24/24</p>	<p>HARTLEPOOL DEVELOPMENT CORPORATION UPDATE</p> <p>Cabinet was provided with an update on the activities of Hartlepool Development Corporation since its establishment in February 2023.</p> <p>The Group Chief Executive advised that an update on both Middlesbrough DC and STDC was to be presented to Cabinet during the course of the municipal year.</p> <p>Cabinet was asked if the report contained the required level of detail. It was advised that the projects listed in the appendix to the report were as a result of some positive collaboration between the Hartlepool Development Corporation, Hartlepool Borough Council and TVCA. Asset transfer had been put on hold until after the Tees Valley Review had concluded.</p> <p>RESOLVED that Cabinet noted the contents of the report.</p>

<p>TVCA 25/24</p>	<p>TEES VALLEY LOCAL NATURE RECOVERY STRATEGY</p> <p>Cabinet was presented with an update on preparation of the Local Nature Recovery Strategy (LNRS) for Tees Valley, including details on the statutory process to be followed. The report also set out the actions required before publication of the LNRS in March 2025.</p> <p>Cabinet was advised that the main purpose of the strategy was to identify locations to create or improve habitat that were most likely to provide the greatest benefit for nature and the wider environment.</p> <p>The Director of Infrastructure advised Cabinet that once the strategy was ready for consultation, the document was to be shared with Cabinet. He also advised that if Cabinet members required a briefing on the strategy then this could be provided.</p> <p>Members were given an opportunity to comment or ask questions.</p> <p>No questions or comments were received.</p> <p>RESOLVED that Cabinet:</p> <ul style="list-style-type: none"> i. Notes the content of the report. ii. Delegates authority to the Director of Infrastructure to finalise the preparation of the draft Tees Valley Local Nature Recovery Strategy in accordance with The Environment (Local Nature Recovery Strategies) (Procedure) Regulations 2023. iii. Notes that the draft Local Nature Recovery Strategy for Tees Valley and supporting documentation for the public consultation will be shared with Cabinet prior to public consultation. iv. Notes that there will be a further update report to Cabinet in January 2025. v. Notes that the final draft Local Nature Recovery Strategy for Tees Valley will be reported to Cabinet in March 2025 for approval prior to publication.
<p>TVCA 26/24</p>	<p>LOCAL GROWTH PLANS</p>

	<p>Cabinet was provided with a report from the Group Chief Executive which presented an update on the Local Growth Plans and the indicative development process.</p> <p>Mayor Houchen advised Cabinet members that workshops had been held and included representatives from all constituent local authorities.</p> <p>Further work was to be undertaken to develop a better understanding of how growth plans and growth settlements linked together by the time of the December Cabinet meeting. A meeting was to be arranged to brief Cabinet members and MPs before then.</p> <p>Members were given an opportunity to comment or ask questions.</p> <p>No questions or comments were received.</p> <p>RESOLVED that Cabinet:</p> <ul style="list-style-type: none"> i. Notes the Local Growth Plan update. ii. Notes that further updates will be provided as the Local Growth Plan is developed. iii. A briefing will be arranged to brief MPs, Leaders and Chief Executives before the next scheduled meeting of the Cabinet.
	<p>DATE AND TIME OF FUTURE MEETINGS</p> <ul style="list-style-type: none"> • Friday, 20 December 2024 • Friday, 31 January 2025 • Friday, 28 March 2025 • Friday, 27 June 2025 <p>(All the above meetings to commence at 10.00am)</p>

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SAFER STOCKTON PARTNERSHIP

A meeting of Safer Stockton Partnership was held on Wednesday 17 July 2024.

Present: Cllr Norma Stephenson OBE (Chair), John Wrintmore (Vice), Cllr Pauline Beall, Cllr Steve Nelson, Sharon Cooney, Dan Heron, Anna Waddington, Gary Knight, Mandie Rowlands, Mandy Mackinnon, Richard Brown, Sarah Willson, Matty Storey, Dave Connor, Ann Powell and Michelle Hill.

Officers: John Devine.

Also in attendance:

Apologies: .

SSP/1224 Evacuation Procedure

The Evacuation Procedure was noted by Members.

SSP/1324 Declarations of Interest

There were no declarations of interest.

SSP/1424 Minutes

The Minutes of the meeting held Thursday 30th May 2024 were agreed as a true record.

SSP/1524 Knife Crime Prevention

Members agreed that due to Officers being unable to attend the meeting that the Knife Crime Prevention report be deferred to another meeting.

SSP/1624 PCC Presentation

The Partnership was presented with a Presentation by the Police and Crime Commissioner (PCC), in the presentation the six key aims of the PCC were outlined. Members discussed each of the sections highlighted in the presentation.

Deliver More Visible & Effective Policing.

Members expressed their support for more visible and effective policing but questioned if funding would be available for more Police. Officers explained that following the Annual General Meeting for PCCs a comprehensive spending review would be taking place, it was hoped following the review greater funding would be allocated. Officers from the PCCs office stated they were committed to making sure that Cleveland got its fair share of any funding.

Members committed to working alongside the Police, with the Councils Community Safety Teams to help plug the gap until more Police were available.

Reduce Crime, Antisocial Behaviour and Harm.

The Issue of Off-Road Bikes and E Scooters were the most common talking points in this section, with Members noting that these issues are often amplified by social media complaints.

Officers noted the concerns of members and highlighted the work being done by Police to tackle these issues. The difficulties that the Police face in tackling the use of Off-Road Bikes was discussed, stopping and seizing a bike while in use is the most dangerous course of action for all involved. Police had been working to promote the various ways the public can report information on the location of where the bikes are stored. And ensure that there would be a confidential way to pass the information on to the Police as well.

It was acknowledged that in real terms Anti-Social Behaviour had reduced but that the public perception was that it was increasing. Officers and members suggested that this could be tackled by more positive messaging through social media, highlighting good work being done in the local area.

Improve Safety for Women and Girls.

The PCCs Office had spoken to local partners who had felt they hadn't been fully utilised in the past. The local partners were keen to expand their input into these issues and be more effective.

Members expressed their opinion that the local area had excellent partners that provide excellent services and supported them being utilised more. Members were also keen that any domestic abuse work done would be gender neutral, as Stockton Councils own strategies were. It was acknowledged that women make up the majority of reported cases of domestic abuse, but members did not want to minimise the impact on male victims.

Build Trust & Confidence in Policing & the Criminal Justice System.

To build trust and confidence work had already been undertaken to promote through social media the good work being done around the local area. Promoting stories of successful work done and positive case handling done by the Police were also suggested. Letting members of the public know about Cleveland Police practices being used as examples of best practise by other areas, for example the Custody Navigator scheme ran by Cleveland Police being studied by other forces.

Ensure the Right Support for Victims & Vulnerable People.

Members discussed with Officers the second bullet point of the section, as those experiencing homelessness, substance misuse and mental health issues had historically experienced stigma. And all partners were committed to ensuring that wouldn't be repeated with this aim.

Tackle Offending & Re-Offending.

Members were agreed on the importance of tackling offending and re offending, the PCC had already undertaken a number of out reach programmes and provided funding to other programmes aimed at early intervention.

Members AGREED to note the update.

SSP/1724 Recorded Crime & Disorder Report

Officers presented the Recorded Crime and Disorder Report with Members, they noted several sections of the report for members. These were as follows:

- The Road Safety Team were focusing on an increase in the numbers of death due to driving.
- Weapon offences had decreased by 18.5%
- A ward survey had taken place with over 800 responders which identified three main areas of concerns. Anti-Social Behaviour, Drugs and Burglary.
- A engagement day had been held in Stockton for Operation Artemis with the reporting of arrest figures in real time being discussed.
- There had been a 3% reduction in residential burglary in the year-to-year statistics.

Members of the partnership were pleased by the high number of people who had responded to the ward surveys. Also discussed was the use of social media and how Police would be utilising it to promote the work that Police had done.

Members Agreed to note the report.

SSP/1824 Performance Monitoring

This section of the agenda was covered in the subheadings below this item.

SSP/1924 Operation Harmony Update

A report on Operation Harmony would be available to members for the next meeting of the partnership. However, Officers were able to point out several key points that would be covered in more depth in the report.

Residents were more confident that they were being listened to by authorities.

There has been a noted increase in the levels of trust between sex workers and the Police. Officers describe seeing the green shoots of a stronger community coming through but acknowledges residents' fears of a regression following if Operation Harmony was stopped too soon.

Members AGREED to note the update.

SSP/2024 Safer Streets 5 Update

Members were made aware that some funding had been made available for further lighting in the Councils town centres.

Members agreed to note the update.

SSP/2124 Prevent (CT) Update

Officers gave members a brief update of an event held in Liverpool which aimed to introduce ways to help divert people away from extremism, through guidance for young people.

Members agreed to note the update.

SSP/2224 Any Other Business

Members updated other Partners that a board and constitution had now been put in place for the Street Angels organisation. But they were waiting until the organisation had been fully registered before calling for volunteers.

Members noted the update.

SSP/2324 iQuanta Report

Members were presented with a restricted report that provided an overview on crime comparisons against other similar CSPs utilising iQuanta.

This report was a restricted document due to the statistical information only made available as an intelligence tool for partnerships until released by the Home Office.

AGREED that the report be noted.

SSP/2424 Bleed Cabinet Discussion

Members were presented with a restricted report that provided an update on the discussion on the Bleed Cabinet item.

CABINET ITEM COVERING SHEET PROFORMA

AGENDA ITEM

REPORT TO CABINET

14 NOVEMBER 2024

REPORT OF
CORPORATE
MANAGEMENT TEAM**CABINET DECISION****Cabinet Member for Regeneration and Housing – Councillor N Cooke****CIVIL PENALTY POLICY & CIVIL PENALTY FEE STRUCTURE (Private Sector Housing Enforcement)****Summary**

Following a recent Upper Tribunal decision (Leicester City Council vs Morjaria) the report details proposed changes to the Councils Civil Penalty Policy and Civil Penalty Fee structure to ensure it is robust and mitigates the risk of successful appeals. Members are also asked to approve a streamlined process of progressing financial penalty notices of intent and final notices.

Reasons for the Recommendations/Decision

The Housing and Planning Act 2016 introduced financial penalties as an alternative to prosecution for certain relevant housing offences. In December 2017, Cabinet approved the introduction of a Civil Penalty policy (Cabinet Decision Record D170112) and a fee structure for the calculation of Civil Penalty fees in October 2019 (Decision Record EGDS.HS.214.19). The fee structure was further updated in October 2022 (Decision Record FDR.153.2223). However, in June 2023, the Upper Tribunal (UT) decision in Leicester City Council vs Morjaria stated that there should be starting levels for each offence. This rendered the councils existing Civil Penalty policy at risk of successful appeals. Subsequently the amendments proposed to the Civil Penalty Policy and Civil Penalty Fee calculation/structure reflect the UT's decision and assigns starting levels to each relevant offence. The updated policy will ensure that the Council can continue to take appropriate action to drive up standards of property management and condition in the private rented housing sector.

Recommendations

Cabinet is asked to:

1. Approve and adopt the amended Civil Penalty policy and fee matrix (**Appendix A**).
2. As detailed in paragraph 22 delegate authority to the Director of Adults, Health & Wellbeing in consultation with the Cabinet Member for Regeneration and Housing to make any further/necessary amendments to the Civil Penalty Policy and associated financial penalty policies.
3. Approve the streamlined process for signing off financial penalty notices of intent and final notices (as detailed in paragraph 23).

DETAIL

Background

4. The Housing and Planning Act 2016 introduced a range of measures to crack down on rogue landlords; these included:
 - a) Civil Penalties of up to £30,000 as an alternative to prosecution for certain specified offences; and
 - b) An extension of rent repayment orders to cover illegal eviction, breach of a Banning Order and certain other specified offences.
5. On 6th April 2017, further new legislation was introduced meaning that regulations came into force with provisions to allow local housing authorities (LHAs) to impose a civil penalty as an alternative to prosecution for the following offences:
 - a) Failure to comply with an Improvement Notice (section 30 of the Housing Act 2004).
 - b) Offences in relation to Licensing of Houses in Multiple Occupation (HMO) (section 72 of the Housing Act 2004).
 - c) Offences in relation to Licensing of houses under Part 3 of the Act (section 95 of the Housing Act 2004).
 - d) Offences of contravention of an Overcrowding Notice (section 139 of the Housing Act 2004).
 - e) Failure to comply with Management Regulations in respect of HMOs (section 234 of the Housing Act 2004); and
 - f) Breach of a Banning Order (section 21 of the Housing and Planning Act 2016).
6. The maximum penalty is £30,000. The amount of penalty is to be determined by the local housing authority in each case. The same criminal standard of proof is required for a civil penalty as for prosecution, that is, beyond reasonable doubt.
7. Local Housing Authorities were required to develop and document policies on imposing a civil penalty charge. The then Department for Communities and Local Government (DCLG) issued guidance to accompany the legislation to assist local authorities consider and determine civil penalty charges. Several factors are required to be considered to ensure civil penalty charges are set at an appropriate level on a case by case basis. These were:
 - a) Severity of the offence: the more serious the offence, the higher the penalty.
 - b) Culpability and track record of the offender: a higher penalty where the offender has a history of failing to comply with their obligations and/or their actions were deliberate and/or they knew, or ought to have known, that they were in breach of their legal responsibilities.
 - c) The harm caused to the tenant: the greater the harm or the potential for harm (this may be as perceived by the tenant), the higher the penalty.
 - d) Punishment of the offender: a civil penalty should not be regarded as an easy or lesser option compared to prosecution and should have an economic impact on the offender and demonstrate the consequences of not complying with their responsibilities.

- e) Deter the offender from repeating the offence: the level of the penalty should be set at a high enough level to deter the offender from repeating the offence.
 - f) Deter others from committing similar offences.
 - g) Remove any financial benefit the offender may have obtained as a result of committing the offence; the offender should not benefit as a result of committing an offence, i.e. it should not be cheaper to offend than to ensure a property is well maintained and properly managed.
8. The process for issuing civil penalties is set out in statutory guidance and in legislation and as noted previously the Council adopted a Civil Penalty policy in 2017 and a fee structure for Civil Penalty fees in 2019.
9. Income received from a civil penalty can be retained by the Council if it is used to further the Council's statutory functions in relation to their enforcement activities covering the private rented sector, as specified in Regulations. Where the landlord or property agent fails to pay a civil penalty, recovery is through the county court procedure and ultimately recoverable through county court bailiffs.

Upper Tribunal Decision 2023

10. The Upper Tribunal (UT) issued a decision in June 2023 following an appeal by Leicester City Council (LCC) against the decision of a First tier Tribunal (FtT) to drastically reduce the amount of civil penalty for an HMO licence offence.
11. While the UT restored the quantum of the penalty to nearer the original, the judge highlighted some concerns about the penalty matrix used by LCC. The judge suggested that a better approach would be for Local Housing Authorities to do the following when calculating an appropriate level for a civil penalty:
- a) Step one: rank the seriousness of offences and give a starting point for each offence in isolation.
 - b) Step two: consider the culpability in isolation and harm in isolation via a scoring matrix;
and
 - c) Step three: consider aggravating and mitigating factors.
12. The Council's current policy and matrix, while considered to be compliant with the statutory guidance, does not reflect the Morjaria decision and would therefore be open to significant challenge in FtT. It is likely that the majority of Local Housing Authorities in England have financial penalty policies that are at risk of successful appeals as they are not compliant with the UT decision.

Amended Civil Penalty Policy

13. The Council's current Civil Penalty policy has been updated to reflect the principles set out in the Morjaria UT decision (with penalty amounts based on case precedents) and drafted to include local licensing conditions. A copy of the proposed new policy is attached at **Appendix A**.

The proposed Civil Penalty fee matrix

14. The Government intends for financial penalties to deter others from committing similar offences and to be self-funding. The starting points and financial amounts detailed in the policy reflect this. The category and starting level for each of the offences are:

Seriousness of Offence	Starting Level [£]
Mild	2,500
Moderate	7,500
Serious	12,500
Very Serious	17,500
Severe	22,500
Very Severe	27,500

15. It is proposed that the offences listed in paragraph five are categorised below:

- a) Non-compliance with an Improvement Notice – Severe: £22,500.
- b) HMO licensing:
 - (i) No licence – Very serious: £17,500.
- c) Selective licensing:
 - (i) No licence – Serious: £12,500.
- d) Licence conditions:
 - (i) Signage or information – Mild: £2,500.
 - (ii) ASB/vetting/maintenance common parts and living areas/waste receptacles/minor repairs or alterations – Moderate: £7,500.
 - (iii) Documentation relating to fire detection/emergency lighting/gas and electric installation – Serious: £12,500.
 - (iv) Minimum floor areas – Very serious: £17,500.
 - (v) Condition of smoke and CO alarms/emergency lighting/gas, electric and fire detection and prevention/safe means of escape – Severe: £22,500.
- e) Overcrowding Notice – very serious: £17,500.
- f) HMO Management Regulations:
 - (i) Not providing information to occupier – Mild: £2,500.
 - (ii) Take safety measures – Very serious: £17,500.
 - (iii) Maintain water supply and drainage – Serious: £12,500.
 - (iv) Maintain gas and electricity – Serious: £12,500.
 - (v) Maintain common parts etc. – Moderate: £7,500.
 - (vi) Maintain living accommodation – Moderate: £7,500.
 - (vii) Provide waste disposal facilities – Moderate: £7,500 and
- g) Banning Order – Most serious: £30,000.

16. Aggravating factors, specific to each offence and generic ones, will be applied meaning the final quantum could increase, decrease or remain the same.

17. It is proposed to apply discounts in the following circumstances:

- a) In the event that the offender rectifies the identified breach (for example, by making an application to licence a previously unlicensed property) within the representation period at the 'notice of intent' stage (i.e. within the period of 28 days beginning with the day after that on which the notice of intent was given), the Council will consider reducing the level of any

figure that would have otherwise been imposed in the final notice (“the original calculated financial penalty) by 20%; and

- b) A discount of 15% of the original calculated financial penalty will be deducted from the penalty imposed in the final notice should the penalty be paid within a specified time period (normally 28 days), this discount would be in addition to any reduction applied as a result of compliance at the notice of intent stage.

Comparisons of the Civil Penalty fee: existing policy and proposed policy

- 18. Using the examples provided in the Civil Penalty Fee Worked Examples document (**Appendix B**):

Example 1: *Operating an Unlicensed HMO*, the civil penalty amount calculated from the existing policy was £13,050. When considering the same offence/circumstances and applying the principles of the new policy the new amount would be £17,500. (If the penalty fee was paid within the specified time period (normally 28 days) then the amount would be reduced to £14,875)

Example 2: *Failure to comply with an Improvement Notice*, the civil penalty amount calculated from the existing policy was £16,950. When considering the same offence and circumstances and applying the principles of the new policy the new amount would be £22,500. (If the penalty fee was paid within the specified time period (normally 28 days) then the amount would be reduced to £19,125).

Example 3: *Failure to comply with the House in Multiple Occupation (HMO) Management Regulations*, the civil penalty amount calculated from the existing policy was £611 for the offence failing to comply with the duty of a manager to provide information to the occupiers by not displaying the managers details. When considering the same offence and circumstances and applying the principles of the new policy the new amount would be £2,500. (If the penalty fee was paid within the specified time period (normally 28 days) then the amount would be reduced to £2,125).

- 19. While these are worked examples, it is anticipated that in general, financial penalty amounts will be higher under the proposed policy.
- 20. Members are asked to note that whilst financial penalties are used as an alternative to prosecution, legal action will be pursued where it is most appropriate to do so.

Impact Locally

- 21. The Councils Private Sector Housing team endeavour to be pro-active in dealing with rogue landlords whilst having regard to the Corporate Regulatory Enforcement Policy and the Regulators Code (i.e. formal action is instigated in a timely manner). It is anticipated that most landlords and property agents will be compliant and that it will be a small minority that are subject to the new enforcement powers.

Renters Rights Bill (was the Renters Reform Bill)

- 22. The widely publicised Renters Rights Bill is currently going through the relevant parliamentary scrutiny and stages. It is proposed that the Director of Adults Health & Well-being in consultation with the Cabinet Member for Regeneration and Housing be given approval to make any further change to the Civil Penalty Policy (and changes) as required by this bill and any subsequent legislation.

Notices of Intent process – streamlining current procedures

23. The current procedure for notices of intent sign-off (within the Private Sector Housing team) is aligned with prosecutions i.e. the process requires sign-off from the legal team and Director. Legal services have advised this approval process is not required. It is therefore proposed that in future whilst a decision to pursue this course of action will remain with the relevant Director there will be an onward delegation to the relevant Assistant Director Service and/or Lead Private Sector Housing or (once satisfied that the public interest and evidential tests are met).

COMMUNITY IMPACT IMPLICATIONS

24. An Equality and Poverty, Impact Assessment (EPIA) has been completed to ensure that the Council is following its legal duties and that we are promoting equality and diversity within the Councils decision-making processes. The conclusion of the EPIA is that the proposed Civil Penalty Policy and associated fee structure will not have a potential and/or differential impact on the needs of specific groups, including those who possess a protected characteristic.

CORPORATE PARENTING IMPLICATIONS

25. This report is not the subject of any Corporate Parenting Implications.

FINANCIAL IMPLICATIONS

26. The Housing and Planning Act 2016 allows the income from civil penalty charges to be retained by the local authority. The income from civil penalties recovered under section 23 of the Housing and Planning Act 2016 will be used to meet the costs and expenses (Whether administrative or legal) incurred in, or associated with, carrying out any of its enforcement functions in relation to the private rented sector.
27. No budget provision has been made for 2024/2025 in respect of income that may be received through this process. As mentioned above, at this current time, it is expected that it will be a small minority that are subject to the new enforcement powers and any financial income will therefore also be minimal.

LEGAL IMPLICATIONS

28. Future financial penalty final notices using the current policy and matrix could be appealed at the First-tier Tribunal. The UT decision could cause issues in that respect so the sooner the new policy and matrix is adopted the better. To ensure the proposed policy is compliant colleagues in legal services have been consulted.

RISK ASSESSMENT

29. The introduction of the proposals detailed within the body of this report are likely to be low to medium risk and will therefore be managed through existing control mechanism.

WARDS AFFECTED AND CONSULTATION WITH WARD/COUNCILLORS

30. The policy if applicable would apply to all wards. Consultation briefings have taken place with the Cabinet Member for Regeneration & Housing.

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Private Sector Housing Civil Penalty Policy

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- 1.1 Stockton on Tees Borough Council ('the Council') is committed to improving the housing conditions and management standards in privately rented and privately owned properties across the borough.
- 1.2 Although Stockton has some excellent landlords there are a number of criminal, rogue and irresponsible landlords who knowingly rent out accommodation that is unlicensed, substandard and/or unsafe.
- 1.3 Local Housing Authorities have the power to impose civil penalties (financial penalties) of up to £30,000 on individuals and organisations. Civil Penalties can be imposed as an alternative to prosecution for certain offences under the Housing Act 2004, ("the 2004 Act"), the Housing and Planning Act 2016 ("the 2016 Act") and the Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 ("the Electrical Regulations").
- 1.4 The Council has the power to impose a civil penalty of up to a maximum of £30,000 for each separate offence. If multiple offenders have committed the same offence at the same property, a separate civil penalty can, and usually will, be imposed on each offender. In each case, the level of civil penalty imposed on each offender will be in line with this policy.
- 1.5 This guidance outlines the Council's policy in setting the level of a civil penalty in each case where it has been determined to issue a civil penalty as an alternative to prosecution proceedings.
- 1.6 The Council considers the need for transparency and consistency in the discharge of its functions under the Housing Act 2004 to be of primary importance. The general objective of this policy is, therefore, to promote both transparency and consistency in the imposition of financial penalties under the 2004 Act so that, for example, those managing and having control of rented properties in the Council (a) know how the Council will generally penalise relevant offences and (b) are assured that, generally, like cases will be penalised similarly, and different cases penalised differently. The further objectives of using financial penalties in particular as a means of enforcing the above offences are explained below.
- 1.7 The statutory guidance issued by the Department for Communities and Local Government (DCLG), uses the term "Civil Penalty", whilst the applicable legislation uses the term "Financial Penalty". This Policy follows the DCLG guidance in using the term Civil Penalty, however the terms Civil Penalty and Financial Penalty are interchangeable.
- 1.8 In this policy, the term 'landlord' should be read as including letting agents, managing agents, licensors, property owners, directors of corporate landlords and any other person involved in the letting or management of privately rented accommodation.
- 1.9 In this policy, the terms 'House of Multiple Occupation' or 'HMO' are defined by the Housing Act 2004.

2.0 Policy aim

- 2.1 This Civil Penalty Policy sets out the Council's approach to civil penalties, taking into account the statutory guidance set out by the Government under Schedule 9 of the Housing and Planning Act 2016 and should be read in conjunction with the Enforcement and Regulatory Policy for Private Sector Housing.
- 2.2 The Council is mindful that despite its best efforts, many landlords may operate unlawfully for a significant period of time without detection, and only a proportion of landlords committing relevant offences will be discovered. The Council is, therefore, mindful that when deciding to impose a Civil Penalty, it should create an environment where it is clear to the offender and others that operating unlawfully as a landlord will be financially disadvantageous when compared to operating lawfully.
- 2.3 The Council intends to create an environment where landlords engage with the Council's requests and demands fulsomely, openly and honestly. This helps create a level playing field which supports the aims of transparency and consistency. No landlord should be able to financially benefit from withholding information the Council deems relevant that is, or should be, in their control to disclose. It is expected that fulsome and complete supporting evidence is provided to support any Written Representations received in response to a Notice of Intent.

3.0 Offences covered by Civil Penalties

Housing

- 3.1 Section 126 and Schedule 9 of the Housing and Planning Act 2016 provided local authorities with the power, through the insertion of section 249A, Housing Act 2004, to impose a Civil Penalty as an alternative to prosecution in respect of the following offences under the Housing Act 2004.
 - Section 30 – Failure to comply with an Improvement Notice
 - Section 72 – Offences in relation to licensing of Houses in Multiple Occupation (HMOs)
 - Section 95 – Offences in relation to licensing of housing under Part 3 of the Act
 - Section 139 – Offences of contravention of an overcrowding notice
 - Section 234 – Failure to comply with management regulations in respect of HMOs.
- 3.3 In addition under section 23 of the Housing and Planning Act 2016 provides that a civil penalty may be imposed in respect of a breach of a Banning Order.

Electrical Safety Standards

- 3.4 On 1st June 2020, the Electrical Safety Standards in The Private Rented Sector (England) Regulations 2020 came into force for new tenancies and since 1st April 2021 for existing tenancies, providing under Regulation 11, local authorities with the power to issue civil penalties up to a maximum of £30,000 in respect of breaches of Regulation 3 (Failing to meet any duty as a private landlord) of the Electrical Safety Standards in The Private Rented Sector (England) Regulations 2020.

4.0 Principles of Civil Penalties

- 4.1 Stockton-on-Tees Borough Council will continue to take robust action against those landlords that flout the law and will ensure that its use of civil penalties is consistent, appropriate, proportionate and fair.
- 4.2 Civil penalties can only be used as an alternative to prosecution. This means that if a Civil Penalty has already been imposed an offender cannot be prosecuted for the same offence. Likewise, a person who has been (or is being) prosecuted for a particular offence cannot be issued with a Civil Penalty for the same offence.
- 4.3 Although only one Civil Penalty can be issued (as an alternative to prosecution) for each of the first 4 offences listed in paragraph 3.1 above, a Civil Penalty can be issued for each separate breach of the HMO Management Regulations.
- 4.4 Where the Council is in a position to prosecute an agent and landlord for failing to obtain a licence for a licensable property, it has the option of imposing a Civil Penalty on the agent and the landlord as an alternative to prosecution.
- 4.5 The Council can impose a Civil Penalty on both an agent and landlord where both have committed the same offence, as an alternative to prosecution. The level of Civil Penalty imposed on each offender may differ, depending on the circumstances.
- 4.6 Further information about the Private Sector Housing team's main functions to enforce and regulate relevant legislation can be found in the Enforcement and Regulatory Policy for Private Sector Housing.
- 4.7 The same criminal standard of proof is required for a Civil Penalty as for prosecution. This means that, before taking formal action, the Council needs to satisfy itself that, if the case were to be prosecuted in the Magistrates' Court, there would be a realistic prospect of conviction.

5.0 Statutory Guidance

- 5.1 The Government has issued statutory guidance under Schedule 9 of the Housing & Planning Act 2016 entitled "Civil penalties under the Housing and Planning Act 2016. Guidance for Local Housing Authorities". The Council has regard to this guidance in the exercise of their functions in respect of civil penalties.
- 5.2 Paragraph 3.5 of the statutory guidance states that 'The actual amount levied in any particular case should reflect the severity of the offence, as well as taking account of the landlord's previous record of offending'. The same paragraph sets out several factors that should be taken into account to ensure that the civil penalty is set at an appropriate level in each case:
 - a. **Severity of the offence.** The more serious the offence, the higher the penalty should be.
 - b. **Culpability and track record of the offender.** A higher penalty will be appropriate where the offender has a history of failing to comply with their obligations and/or their actions were deliberate and/or they knew, or ought to have known, that they were in breach of their legal responsibilities. Landlords are running a business and should be expected to be aware of their legal obligations.
 - c. **The harm caused to the tenant.** This is a very important factor when determining the level of penalty. The greater the harm or the potential for harm (this may be as

perceived by the tenant), the higher the amount should be when imposing a civil penalty.

- d. **Punishment of the offender.** A civil penalty should not be regarded as an easy or lesser option compared to prosecution. While the penalty should be proportionate and reflect both the severity of the offence and whether there is a pattern of previous offending, it is important that it is set at a high enough level to help ensure that it has a real economic impact on the offender and demonstrate the consequences of not complying with their responsibilities.
- e. **Deter the offender from repeating the offence.** The ultimate goal is to prevent any further offending and help ensure that the landlord fully complies with all of their legal responsibilities in future. The level of the penalty should therefore be set at a high enough level such that it is likely to deter the offender from repeating the offence.
- f. **Deter others from committing similar offences.** While the fact that someone has received a civil penalty will not be in the public domain, it is possible that other landlords in the local area will become aware through informal channels when someone has received a civil penalty. An important part of deterrence is the realisation that (a) the local authority is proactive in levying civil penalties where the need to do so exists and (b) that the level of civil penalty will be set at a high enough level to both punish the offender and deter repeat offending.
- g. **Remove any financial benefit the offender may have obtained as a result of committing the offence.** The guiding principle here should be to ensure that the offender does not benefit as a result of committing an offence, i.e. it should not be cheaper to offend than to ensure a property is well maintained and properly managed.

5.3 The factors detailed in the statutory guidance and policy aims will be considered by the Council when deciding where, within the Civil Penalties matrix below, a particular offence and penalty fall.

6.0 Civil Penalties Matrix

6.1 In determining the level of a civil penalty, officers will have regard to the matrix set out below, which is to be read in conjunction with the associated guidance. The matrix is intended to provide indicative 'starting level' under the various offence categories, with the final level of the civil penalty adjusted in each case, taking into account aggravating and mitigating factors the Council deems significant including, but not limited to, factors relating to the track record and culpability of the landlord and the actual or potential harm to the occupants.

6.2 In deciding what level of penalty to impose, officers will conduct the following four stage process. First, they will consider the seriousness of the relevant housing offence to identify a starting level of the penalty. Second, an assessment of the number of rental properties controlled or owned or managed by the landlord and/or their experience in the letting/management of property will be considered, which may have the effect of increasing or decreasing the penalty. Third, aggravating and mitigating factors that may relate to a number of factors including, but not limited to, culpability, track record and harm will be considered, which may have the effect of increasing or decreasing the penalty. Fourth, if any of the Discounts, as set out below, apply, the penalty will be decreased.

- 6.3 Once the seriousness of the relevant housing offence has been identified, the starting level of the penalty will be identified using the table below with the headings 'Seriousness of offence' and 'Starting level [£]'. Consideration of the number and type of rental properties controlled or owned or managed may adjust the penalty.
- 6.4 To reflect the seriousness of the offence(s) in question, the presence of one or more mitigating factors will rarely result in the penalty being decreased in excess of a total of £5,000. In exceptional circumstances, officers may determine that the presence of one or more mitigating factors justify a decrease in the penalty in excess of £5,000. The presence of numerous mitigating factors will not automatically be considered as exceptional circumstances.
- 6.5 The Council has not provided a list of mitigating factors in this policy because it acknowledges that there are myriad possible circumstances that might give rise to mitigation.
- 6.6 To ensure that any penalty imposed is proportionate to the offending behaviour the presence of one or more aggravating factors will rarely result in the penalty being increased in excess of a total of £5,000. In exceptional circumstances, officers may determine that the presence of one or more aggravating factors justify a increase in the penalty in excess of £5,000. The presence of numerous aggravating factors will not automatically be considered as exceptional circumstances.
- 6.7 The Council may, exceptionally, including for the reason given above, increase the penalty by greater than £5,000 on account of aggravating factors or, again exceptionally, decrease it by greater than £5,000 on account of mitigating factors. In order to meet the objectives of this policy, including the need for transparency and consistency in the use of such penalties, the Council will exercise its discretion to increase or decrease a penalty by greater than £5,000 on account of aggravating or mitigating factors in exceptional circumstances only excluding any discounts as set out below. The Council will consider on a case-by-case basis whether any such circumstances exist.

Seriousness of offence	Starting level [£]
Mild	2,500
Moderate	7,500
Serious	12,500
Very Serious	17,500
Severe	22,500
Very Severe	27,500

7.0 Offences where a Civil Penalty may be levied as an alternative to prosecution and relevant considerations as to the level of that penalty

7.1 Failure to comply with an Improvement Notice - Section 30 of the Housing Act 2004

Maximum Court fine following prosecution that can be levied for failure to comply with an Improvement Notice - Unlimited

An Improvement Notice served under Part 1 Housing Act 2004 specifies repairs/improvements that the recipient should carry out in order to address one or more identified Category 1 and/or Category 2 hazards in a property. Category 1 hazards are the most serious hazards, judged to have the highest risk of harm to the occupiers; the Council has a duty to take appropriate action where a dwelling is found to have one or more Category 1 hazards present.

In some cases, the service of an Improvement Notice will have followed an informal stage, where the landlord had been given the opportunity to carry out improvements without the need for formal action. In such cases, an identified failure to comply with an Improvement Notice will represent a continued failure on the part of the landlord to deal appropriately with one or more significant hazards affecting the occupier[s] of the relevant dwelling.

The Council would view the offence of failing to comply with the requirements of an Improvement Notice as a significant issue, exposing the tenant[s] of a dwelling to one or more significant hazards.

The seriousness of the offence is viewed by the Council as being a Severe matter, attracting a financial penalty with a starting level of £22,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £17,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £22,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £27,500.

Aggravating features/factors specific to non-compliance with an Improvement Notice

- The nature and extent of hazards that are present. Multiple hazards and/or severe/extreme hazards that are considered to have a significant impact on the health and/or safety of the occupant[s] in the property or their guests would justify an increase in the level of the civil penalty

Generic aggravating features/factors

The Council will have regard to general factors in determining the final level of the civil penalty including, but not limited to:

- A previous history of non-compliance would justify an increased civil penalty. Non-exhaustive examples of previous non-compliance would include previous successful prosecutions [including recent convictions that were 'spent'], receipt of financial penalties, rent repayment orders, works in default of the landlord and breaches of regulations/obligations, irrespective of whether these breaches had been the subject of separate formal action.
- A failure to cooperate with a Council investigation. Non-exhaustive examples of failure to cooperate would include failing to comply with a s.16 Local Government (Miscellaneous Provisions) Act 1976 notice, failing to comply with a s.235 Housing Act 2004 notice, failing to provide a substantive response to a letter of alleged offence.
- Deliberate intent when committing the offence. Non-exhaustive examples of deliberate intent would include knowledge that the offence was occurring, committing the offence after relevant correspondence was sent by the Council.
- The number of residents placed at risk
- Offending over an extended period of time i.e. 6 months or longer
- Whether any vulnerable residents were in occupation at the time of the offence. Non-exhaustive examples of vulnerable residents include young adults and children, persons vulnerable by virtue of age, persons vulnerable by virtue of disability or sensory impairment, persons with a drug or alcohol addiction, victims of domestic abuse, children in care or otherwise vulnerable by virtue of age, people with complex health conditions, people who do not speak English as their first language, victims of trafficking or sexual exploitation, refugees, asylum seekers

7.2 **Failure to Licence offences**

Maximum Court fine following prosecution that can be levied for failure to license an HMO or Part 3 House – Unlimited

Failure to license a Mandatory 'HMO' – Section 72(1) of the Housing Act 2004

Under Part 2 Housing Act 2004, most higher risk HMOs occupied by 5 or more persons forming 2 or more households are required to hold a property licence issued by the local authority. HMO licensing was introduced to allow local authorities to regulate standards and conditions in high risk, multiply occupied residential premises. Through the property licence regime, local authorities ensure that the HMO has sufficient kitchens, baths/showers and WCs and place a limit on the number of persons permitted to occupy it and the licence holder is required to comply with a set of licence conditions.

The Council would view the offence of failing to license an HMO as a significant failing; Licensing was introduced by the Government in order to regulate management, conditions, standards and safety in the properties considered to represent the highest risk to tenants as regards such matters as fire safety and overcrowding.

This seriousness of the offence is viewed by the Council as being a Very Serious matter, attracting a financial penalty with a starting level of £17,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing only one HMO dwelling and no more than one other dwelling that is not an HMO, with

no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £12,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £17,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £22,500.

Aggravating features/factors specific to failure to licence offences

- The condition of the unlicensed property. The nature and extent of any significant hazards that are present would justify an increase in the level of the civil penalty. Equally, an HMO that was found to be poorly managed and/or lacking amenities/fire safety precautions and/or overcrowded would also justify an increased civil penalty.
- Any demonstrated evidence that the landlord/agent was familiar with the need to obtain a property licence e.g. the fact that they were a named licence holder or manager in respect of an already licensed premises.

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above.

Failure to licence a property under the Council's Selective Licensing Scheme – Section 95(1) of the Housing Act 2004

The Council has also exercised their powers under section 80 Housing Act 2004 and has designated parts of the wards of Stockton Town Centre, Ropner, Mandale & Victoria and Newtown as selective licensing areas. Under this scheme, which comes into force on 1 November 2024 and expires on 31 October 2029, privately rented homes which are not exempt or do not require licensing under an HMO licensing scheme, are required to have a property licence to operate in the borough. Through the Selective Licensing scheme, which was introduced to combat issues such as low housing demand, high levels of deprivation, high levels of crime and anti-social behaviour, the Council intends to improve the professionalism of private landlords and drive-up property standards.

The Council would view the offence of failing to ensure that a rented home was licensed under its Selective Licensing Scheme as a significant issue, meaning that the tenants and wider community are not protected by the additional regulatory controls afforded by licensing.

This seriousness of the offence is viewed by the Council as being a Serious matter, attracting a financial penalty with a starting level of £12,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £7,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £12,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £17,500.

Aggravating features/factors specific to non-licensing offences

- The condition of the unlicensed property. The nature and extent of any significant hazards that are present would justify an increase in the level of the civil penalty. Equally, a property that required a Selective Licence and was found to be poorly managed and/or lacking amenities/fire safety precautions and/or overcrowded would also justify an increased civil penalty.
- Any demonstrated evidence that the landlord/agent was familiar with the need to obtain a property licence e.g. the fact that they were a named licence holder or manager in respect of an already licensed premises.

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above.

Failure to license a property under the Council's Selective Licensing Scheme – Section 95(1) of the Housing Act 2004

The Council has also exercised their powers under section 80 Housing Act 2004 and has designated parts of the wards of Stockton Town Centre, Ropner, Mandale & Victoria and Newtown within the borough of Stockton-on-Tees as a selective licensing area. Under this scheme, which comes into force on 1 November 2024 and expires on 31 October 2029, most privately rented homes which do not require licensing under an HMO licensing scheme, are required to have a property licence to operate. Through the Selective Licensing scheme, which was introduced to combat issues such as low housing demand, high levels of deprivation, high levels of crime and anti-social behaviour, the Council intends to improve the professionalism of private landlords and drive-up property standards.

The Council would view the offence of failing to ensure that a rented home was licensed under its Selective Licensing Scheme as a significant issue, meaning that the tenants and wider community are not protected by the additional regulatory controls afforded by licensing.

This seriousness of the offence is viewed by the Council as being a Serious matter, attracting a financial penalty with a starting level of £12,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £7,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £12,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £17,500.

Aggravating features/factors specific to non-licensing offences

- The condition of the unlicensed property. The nature and extent of any significant hazards that are present would justify an increase in the level of the civil penalty. Equally, a property that required a Selective Licence and was found to be poorly managed and/or lacking amenities/fire safety precautions and/or overcrowded would also justify an increased civil penalty
- Any demonstrated evidence that the landlord/agent was familiar with the need to obtain a property licence e.g. the fact that they were a named licence holder or manager in respect of an already licensed premises

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

7.3 Failure to Comply with an Overcrowding Notice – Section 139 of the Housing Act 2004

Maximum Court fine following prosecution that can be levied for failure to comply with an Overcrowding Notice – Unlimited

Section 139 Housing Act 2004 allows the Council to serve an Overcrowding Notice in respect of an HMO that is not required to be licensed under Part 2 Housing Act 2004. The notice specifies, on a room-by-room basis, the maximum number of persons allowed to occupy each room as sleeping accommodation or that the room is not considered suitable for that purpose.

The Council would view the offence of failing to comply with the requirements of an Overcrowding Notice as a significant matter, exposing the tenant[s] of an HMO to unacceptably cramped living conditions.

The seriousness of the offence is viewed by the Council as being a Very Serious matter, attracting a financial penalty with a starting level of £17,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £12,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £17,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £2,2500.

Aggravating features/factors specific to non-compliance with an Overcrowding Notice

- The level of overcrowding present – breaches that related to over-occupation of multiple rooms or extreme over-occupation of an individual room would justify a higher civil penalty

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

7.4 Failure to Comply with a Banning Order – Section 21 of the Housing and Planning Act 2016

Maximum Court fine that can be levied for failure to comply with a Banning Order following prosecution – Unlimited. In addition, the Court can also impose a prison sentence for up to 51 weeks.

The Housing and Planning Act 2016 includes provisions and processes for a person to be banned from being involved, for a specified period, in one or more of the following activities:

- Letting housing
- Engaging in letting agency work
- Engaging in property management work

Banning Orders are reserved for what are recognised as being the most serious housing-related offences. In the event that the Council was satisfied that the offence of breaching a Banning Order had occurred, this would normally be the subject of prosecution proceedings. Where it was determined that a civil penalty would be appropriate in respect of a breach of a Banning Order, this would normally be set at the maximum level of £30,000 to reflect the severity of the offence.

7.5 Failure to Comply with The Management of Houses in Multiple Occupation [England] Regulations 2006 and The Licensing and Management of Houses in Multiple Occupation (Additional Provisions) (England) Regulations 2007

Maximum Court fine following prosecution that can be levied for failure to comply with each individual regulation - unlimited

The Management of Houses in Multiple Occupation (England) Regulations 2006 impose duties on the persons managing HMOs in respect of:

- Providing information to occupiers [Regulation 3]
- Taking safety measures, including fire safety measures [Regulation 4]
- Maintaining the water supply and drainage [Regulation 5]
- Supplying and maintaining gas and electricity, including having these services/appliances regularly inspected [Regulation 6]
- Maintaining common parts [Regulation 7]
- Maintaining living accommodation [Regulation 8]
- Providing sufficient waste disposal facilities [Regulation 9]

The Licensing and Management of Houses in Multiple Occupation (Additional Provisions) (England) Regulations 2007 impose duties on the persons managing HMOs as defined by Section 257 Housing Act 2004 in respect of:

- Providing information to occupiers [regulation 4]
- Taking safety measures, including fire safety measures [regulation 5]
- Maintaining the water supply and drainage [regulation 6]

- Supplying and maintaining gas and electricity, including having these services/appliances regularly inspected [regulation 7]
- Maintaining common parts [regulation 8]
- Maintaining living accommodation [regulation 9]
- Providing sufficient waste disposal facilities [regulation 10]

It is important that the manager of an HMO complies with all regulations, but the Council recognises that a failure to comply with certain regulations is likely to have a much bigger impact on the safety and comfort of residents than others.

Failure to comply with the duty of manager to provide information to occupier

The Council would view the seriousness of the offence of failing to comply with the duty of the manager to provide information to occupier as a Mild matter, attracting a financial penalty with a starting level of £2,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing only one HMO dwelling and no more than one other dwelling that is not an HMO, with no other relevant factors or aggravating features [see below], will reduce by £2,000, attracting a civil penalty of £500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £2,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £2,000, attracting a civil penalty of £4,500.

Aggravating features/factors specific to Management Regulation breach offences

- The number and/or nature and/or extent of the management regulation breach(es) and/or the deficiencies within each regulation

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

Duty of manager to take safety measures

The Council would view the seriousness of the offence of failing to comply with the duty of the manager to take safety measures as a Very Serious matter, attracting a financial penalty with a starting level of £17,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing only one HMO dwelling and no more than one other dwelling that is not an HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £12,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £17,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or

has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £22,500.

Aggravating features/factors specific to Management Regulation breach offences

As set out under 'Failure to comply with the duty of manager to provide information to occupier' above

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

Duty of manager to maintain water supply and drainage

The Council would view the seriousness of the offence of failing to comply with the duty of the manager to maintain the water supply and drainage as a Serious matter, attracting a financial penalty with a starting level of £12,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing only one HMO dwelling and no more than one other dwelling that is not an HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £7,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £12,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £17,500.

Aggravating features/factors specific to Management Regulation breach offences

As set out under 'Failure to comply with the duty of manager to provide information to occupier' above

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

Duty of manager to supply and maintain gas and electricity

The Council would view the seriousness of the offence of failing to comply with the duty of the manager to maintain the gas and electricity supply as a Serious matter, attracting a financial penalty with a starting level of £12,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing only one HMO dwelling and no more than one other dwelling that is not an HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £7,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £12,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £17,500.

Aggravating features/factors specific to Management Regulation breach offences

As set out under 'Failure to comply with the duty of manager to provide information to occupier' above

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

Duty of manager to maintain common parts, fixtures, fittings and appliances

The Council would view the seriousness of the offence of failing to comply with the duty of the manager to maintain the common parts, fixture, fittings and appliances as a Moderate matter, attracting a financial penalty with a starting level of £7,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing only one HMO dwelling and no more than one other dwelling that is not an HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £2,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £7,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £12,500.

Aggravating features/factors specific to Management Regulation breach offences

As set out under 'Failure to comply with the duty of manager to provide information to occupier' above

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

Duty of manager to maintain living accommodation

The Council would view the seriousness of the offence of failing to comply with the duty of the manager to maintain the living accommodation as a Moderate matter, attracting a financial penalty with a starting level of £7,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing only one HMO dwelling and no more than one other dwelling that is not an HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £2,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £7,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £12,500.

Aggravating features/factors specific to Management Regulation breach offences

As set out under 'Failure to comply with the duty of manager to provide information to occupier' above

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

Duty to provide waste disposal facilities

The Council would view the seriousness of the offence of failing to comply with the duty of the manager to provide waste disposal facilities as a Moderate matter, attracting a financial penalty with a starting level of £7,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing only one HMO dwelling and no more than one other dwelling that is not an HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £2,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £7,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £12,500.

Aggravating features/factors specific to Management Regulation breach offences

As set out under 'Failure to comply with the duty of manager to provide information to occupier' above

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

7.6 Breach of licence conditions – Section 72(3) Housing Act 2004

Maximum Court fine following prosecution that can be levied for failure to comply with a licence condition - unlimited

All granted HMO licences impose a set of conditions on the licence holder. These conditions impose a variety of obligations relating to the letting, management and condition of the rented property.

It is important that the manager of a licensed property complies with all imposed conditions, but the Council recognises that a failure to comply with certain licence conditions is likely to have a much bigger impact on the safety and comfort of residents than others.

Failure to comply with licence conditions related to:

- ***Signage or the provision of information for tenants***
- ***Provision of written terms of occupancy for tenants***
- ***Procedures regarding complaints***
- ***Procedures regarding vetting of incoming tenants***
- ***Compliance with deposit protection legislation***
- ***The recording and provision of information regarding rent payments***
- ***The provision of information regarding occupancy of the property***
- ***The provision of information regarding change of managers or licence holder details***
- ***The provision of information related to changes in the property***
- ***Requirements relating to the sale of the property***
- ***Attending training courses***
- ***Requirements to hold insurance***
- ***The provision of insurance documentation***
- ***The installation of locks to windows, doors and gates and the provision of keys for these locks***

The Council would view the seriousness of the offence of failing to comply with licence conditions relating to the bullet points directly above as a Mild matter, attracting a financial penalty with a starting level of £2,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £2,000, attracting a civil penalty of £500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £2,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £2,000, attracting a civil penalty of £4,500.

Aggravating features/factors specific to Licence Condition breach offences

- The number and/or nature and/or extent of the licence condition regulation breach(es) and/or the deficiencies within each licence condition breach

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

Failure to comply with licence conditions related to:

- **Procedures and actions regarding Inspections**
- **Procedures regarding Repair issues**
- **Maintenance and use of common parts (including gardens and outbuildings) and living areas**
- **Safeguarding occupiers and minimising disruption during works**
- **Providing information regarding alterations and construction works,**
- **Procedures regarding emergency issues**
- **Waste and waste receptacles, pests, minor repairs, alterations or decoration.**
- **Giving written notice prior to entry**
- **Allowing access for inspections**
- **Minimising risk of water contamination**
- **Securing the property when it is unoccupied**
- **The compliance of furnishings or furniture with fire safety regulations**

The Council would view the seriousness of the offence of failing to comply with licence conditions relating to the bullet points directly above as a Moderate matter, attracting a financial penalty with a starting level of £7,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £2,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £7,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £12,500.

Aggravating features/factors specific to Licence Condition breach offences

- The number and/or nature and/or extent of the licence condition regulation breach(es) and/or the deficiencies within each licence condition breach

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

Failure to comply with licence conditions related to:

- **The provision of documentation regarding energy performance certificates, fire detection and prevention, emergency lighting, carbon monoxide detection, fire risk assessments, gas installations, electric installations and appliances**
- **Notification of legal proceedings, contraventions and other relevant information that may affect a fit and proper person status**
- **Procedures and actions regarding ASB**

The Council would view the seriousness of the offence of failing to comply with licence conditions relating to the bullet points directly above as a Serious matter, attracting a financial penalty with a starting level of £12,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £7,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £12,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £17,500.

Aggravating features/factors specific to Licence Condition breach offences

- The number and/or nature and/or extent of the licence condition regulation breach(es) and/or the deficiencies within each licence condition breach

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

Failure to comply with licence conditions related to:

- ***Minimum floor areas***
- ***Occupancy rates***
- ***Occupancy of rooms that are not to be used as sleeping accommodation***
- ***Limits on number of households allowed to occupy the property or part of the property***

The Council would view the seriousness of the offence of failing to comply with licence conditions relating to the bullet points directly above as a Very Serious matter, attracting a financial penalty with a starting level of £17,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £12,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £17,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £22,500.

Aggravating features/factors specific to Licence Condition breach offences

- The number and/or nature and/or extent of the licence condition regulation breach(es) and/or the deficiencies within each licence condition breach

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

Failure to comply with licence conditions related to:

- **The condition or existence of smoke alarms, carbon monoxide alarms, emergency lighting, gas installations, electric installations and appliances, fire detection or other fire safety features or requirements**
- **The prevention including provision of safe means of escape**

The Council would view the seriousness of the offence of failing to comply with licence conditions relating to the bullet points directly above as a Severe matter, attracting a financial penalty with a starting level of £22,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £17,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £22,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £27,500.

Aggravating features/factors specific to Licence Condition breach offences

- The number and/or nature and/or extent of the licence condition regulation breach(es) and/or the deficiencies within each licence condition breach

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

7.7 Breach of licence conditions – Section 95(2) Housing Act 2004

Maximum Court fine following prosecution that can be levied for failure to comply with a licence condition – unlimited

All granted property licences impose a set of conditions on the licence holder. These conditions impose a variety of obligations relating to the letting, management and condition of the rented property.

It is important that the manager of a licensed property complies with all imposed conditions, but the Council recognises that a failure to comply with certain licence conditions is likely to have a much bigger impact on the safety and comfort of residents than others.

Failure to comply with licence conditions related to:

- **Signage or the provision of information for tenants**

- **Provision of written terms of occupancy for tenants**
- **Procedures regarding complaints**
- **Procedures regarding vetting of incoming tenants**
- **Compliance with deposit protection legislation**
- **The recording and provision of information regarding rent payments**
- **The provision of information regarding occupancy of the property**
- **The provision of information regarding change of managers or licence holder details**
- **The provision of information related to changes in the property**
- **Requirements relating to the sale of the property**
- **Attending training courses**
- **Requirements to hold insurance**
- **The provision of insurance documentation**
- **The installation of locks to windows, doors and gates and the provision of keys for these locks**

The Council would view the seriousness of the offence of failing to comply with licence conditions relating to the bullet points directly above as a Mild matter, attracting a financial penalty with a starting level of £2,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £2,000, attracting a civil penalty of £500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £2,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £2,000, attracting a civil penalty of £4,500.

Aggravating features/factors specific to Licence Condition breach offences

- The number and/or nature and/or extent of the licence condition regulation breach(es) and/or the deficiencies within each licence condition breach

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

Failure to comply with licence conditions related to:

- **Procedures and actions regarding Inspections**
- **Procedures regarding Repair issues**
- **Maintenance and use of common parts (including gardens and outbuildings) and living areas**
- **Safeguarding occupiers and minimising disruption during works**
- **Providing information regarding alterations and construction works,**
- **Procedures regarding emergency issues**
- **Waste and waste receptacles, pests, minor repairs, alterations or decoration.**
- **Giving written notice prior to entry**

- **Allowing access for inspections**
- **Minimising risk of water contamination**
- **Securing the property when it is unoccupied**

The Council would view the seriousness of the offence of failing to comply with licence conditions relating to the bullet points directly above as a Moderate matter, attracting a financial penalty with a starting level of £7,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £2,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £7,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £12,500.

Aggravating features/factors specific to Licence Condition breach offences

- The number and/or nature and/or extent of the licence condition regulation breach(es) and/or the deficiencies within each licence condition breach

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

Failure to comply with licence conditions related to:

- **The provision of documentation regarding energy performance certificates, fire detection and prevention, emergency lighting, carbon monoxide detection, fire risk assessments, gas installations, electric installations and appliances**
- **Notification of legal proceedings, contraventions and other relevant information that may affect a fit and proper person status**
- **Procedures and actions regarding ASB**
- **Minimum floor areas**
- **Occupancy rates**
- **Occupancy of rooms that are not to be used as sleeping accommodation**
- **Limits on number of households allowed to occupy the property or part of the property**

The Council would view the seriousness of the offence of failing to comply with licence conditions relating to the bullet points directly above as a Serious matter, attracting a financial penalty with a starting level of £12,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £7,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs,

with no other relevant factors or aggravating features [see below], will attract a civil penalty of £12,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5000, attracting a civil penalty of £17,500.

Aggravating features/factors specific to Licence Condition breach offences

- The number and/or nature and/or extent of the licence condition regulation breach(es) and/or the deficiencies within each licence condition breach

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

Failure to comply with licence conditions related to:

- ***The condition or existence of smoke alarms, carbon monoxide alarms, emergency lighting, gas installations, electric installations and appliances, fire detection or other fire safety features or requirements***
- ***The prevention including provision of safe means of escape***

The Council would view the seriousness of the offence of failing to comply with licence conditions relating to the bullet points directly above as a Very Serious matter, attracting a financial penalty with a starting level of £17,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £12,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £17,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5,000, attracting a civil penalty of £22,500.

Aggravating features/factors specific to Licence Condition breach offences

- The number and/or nature and/or extent of the licence condition regulation breach(es) and/or the deficiencies within each licence condition breach

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

7.8 Failure to Comply with Regulation 3 of The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020

Regulation 3 of The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 impose duties on private landlords in relation to electrical installations. Regulation 3 is detailed below:

3. Duties of private landlords in relation to electrical installations

- (1) A private landlord who grants or intends to grant a specified tenancy must—
 - (a) ensure that the electrical safety standards are met during any period when the residential premises are occupied under a specified tenancy;
 - (b) ensure every electrical installation in the residential premises is inspected and tested at regular intervals by a qualified person; and
 - (c) ensure the first inspection and testing is carried out—
 - (i) before the tenancy commences in relation to a new specified tenancy; or
 - (ii) by 1st April 2021 in relation to an existing specified tenancy.

- (2) For the purposes of sub-paragraph (1)(b) "at regular intervals" means—
 - (a) at intervals of no more than 5 years; or
 - (b) where the most recent report under sub-paragraph (3)(a) requires such inspection and testing to be at intervals of less than 5 years, at the intervals specified in that report.

- (3) Following the inspection and testing required under sub-paragraphs (1)(b) and (c) a private landlord must—
 - (a) obtain a report from the person conducting that inspection and test, which gives the results of the inspection and test and the date of the next inspection and test;
 - (b) supply a copy of that report to each existing tenant of the residential premises within 28 days of the inspection and test;
 - (c) supply a copy of that report to the local housing authority within 7 days of receiving a request in writing for it from that authority;
 - (d) retain a copy of that report until the next inspection and test is due and supply a copy to the person carrying out the next inspection and test; and
 - (e) supply a copy of the most recent report to—
 - (i) any new tenant of the specified tenancy to which the report relates before that tenant occupies those premises; and
 - (ii) any prospective tenant within 28 days of receiving a request in writing for it from that prospective tenant.

- (4) Where a report under sub-paragraph (3)(a) indicates that a private landlord is or is potentially in breach of the duty under sub-paragraph (1)(a) and the report requires the private landlord to undertake further investigative or remedial work, the private landlord must ensure that further investigative or remedial work is carried out by a qualified person within—
 - (a) 28 days; or
 - (b) the period specified in the report if less than 28 days, starting with the date of the inspection and testing.

- (5) Where paragraph (4) applies, a private landlord must—
 - (a) obtain written confirmation from a qualified person that the further investigative or remedial work has been carried out and that—
 - (i) the electrical safety standards are met; or
 - (ii) further investigative or remedial work is required;
 - (b) supply that written confirmation, together with a copy of the report under

- sub-paragraph (3)(a) which required the further investigative or remedial work to each existing tenant of the residential premises within 28 days of completion of the further investigative or remedial work; and
- (c) supply that written confirmation, together with a copy of the report under sub-paragraph (3)(a) which required the further investigative or remedial work to the local housing authority within 28 days of completion of the further investigative or remedial work.
- (6) Where further investigative work is carried out in accordance with paragraph (4) and the outcome of that further investigative work is that further investigative or remedial work is required, the private landlord must repeat the steps in paragraphs (4) and (5) in respect of that further investigative or remedial work.
- (7) For the purposes of sub-paragraph (3)(e)(ii) a person is a prospective tenant in relation to residential premises if that person—
- (a) requests any information about the premises from the prospective landlord for the purpose of deciding whether to rent those premises;
- (b) makes a request to view the premises for the purpose of deciding whether to rent those premises; or
- (c) makes an offer, whether oral or written, to rent those premises.

It is important that a private landlord complies with all aspects of Regulation 3 of The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020, however, the Council recognises that a failure to comply with certain aspects of Regulation 3 is likely to have a much bigger impact on the safety and comfort of residents than others.

Failure to comply with Regulation 3 of The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 sections (3)(b), 3(d), 3(e)

The Council would view the seriousness of the offence of failing to comply with (3)(b), 3(d) or 3(e) of Regulation 3 of The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 as a Mild matter, attracting a financial penalty with a starting level of £2,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £2,000, attracting a civil penalty of £500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £2,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £2,000, attracting a civil penalty of £4,500.

Aggravating features/factors specific to Electrical Safety Regulations breaches of duty

- The number and/or nature and/or extent of the Electrical Safety Regulation breach(es) within each sub-regulation

- Using an unqualified person lacking appropriate certification to carry out inspection, testing, investigative or remedial work

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

Failure to comply with Regulation 3 of The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 sections (1)(a), (1)(b), (1)(c), (3)(a), (3)(c), (5)(b), (5)(c)

The Council would view the seriousness of the offence of failing to comply with (1)(a), (1)(b), (1)(c), (3)(a), (3)(c), (5)(b) or (5)(c) of Regulation 3 of The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 as a Serious matter, attracting a financial penalty with a starting level of £12,500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £5,000, attracting a civil penalty of £7,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs, with no other relevant factors or aggravating features [see below], will attract a civil penalty of £12,500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5000, attracting a civil penalty of £17500.

Aggravating features/factors specific to Electrical Safety Regulations breaches of duty

- The number and/or nature and/or extent of the Electrical Safety Regulation breach(es) within each sub-regulation
- Using an unqualified person lacking appropriate certification to carry out inspection, testing, investigative or remedial work

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

Failure to comply with Regulation 3 of The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 sections (4), (5a), (6)

The Council would view the seriousness of the offence of failing to comply with (4), (5a) or (6) of Regulation 3 of The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 as a Very Serious matter, attracting a financial penalty with a starting level of £17500.

Under the Council's policy the civil penalty for a landlord controlling/owning/managing one or two dwellings, including no more than one HMO, with no other relevant factors or aggravating features [see below], will reduce by £5000, attracting a civil penalty of £12500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a significant property portfolio, being three, four, or five dwellings, and/or two HMOs,

with no other relevant factors or aggravating features [see below], will attract a civil penalty of £17500.

Under the Council's policy, the civil penalty for a landlord controlling/owning/managing a large property portfolio, being six or more dwellings, and/or three or more HMOs and/or has demonstrated experience in the letting/management of property (irrespective of the size of the portfolio), with no other relevant factors or aggravating factors [see below], will increase by £5000, attracting a civil penalty of £22500.

Aggravating features/factors specific to Electrical Safety Regulations breaches of duty

- The number and/or nature and/or extent of the Electrical Safety Regulation breach(es) within each sub-regulation
- Using an unqualified person lacking appropriate certification to carry out inspection, testing, investigative or remedial work

Generic aggravating features/factors

As set out under 'Failure to comply with an Improvement Notice' above

8.0 Process for imposing a civil penalty and the right to make representations

- 8.1 Before imposing a financial penalty on a person, the Council will give the person a Notice of Intent.
- 8.2 A person who is given a Notice of Intent may make written representations to the Council about the proposal to impose a financial penalty. Any representations must be made within a 28-day period, this period starting the day after the date on which the Notice of Intent was given. As the burden lies with the recipient of any such notice to explain why, exceptionally, the Council should, or should not, depart from the Civil Penalties Matrix and guidance above, the Council will expect the recipient of a Notice of Intent to explain and provide fulsome and cogent evidence to support the existence of any such circumstances when they make representations in response to the notice.
- 8.3 In the event of two or more persons receiving separate Notices of Intent for the same matter, it should be noted that acceptance/payment of a civil penalty by one person will not negate the Council's intention to impose a civil penalty on the second or further persons. Each person served with the Notice of Intent is considered individually liable to pay the civil penalty notified to them. It is therefore important that any recipient of a Notice of Intent takes the opportunity to make representations should they consider for any reason a civil penalty should not be individually imposed upon them.
- 8.4 After the end of the period for representations the Council will:
- (a) Decide whether to impose a financial penalty on the person, and
 - (b) If it decides to impose a financial penalty, decide the amount of the penalty
- 8.5 In determining whether to impose a financial penalty, and the level of any penalty, the Council will consider any written representations received in the appropriate time period, and will also consider the totality principle.
- 8.6 Furthermore, an offender's compliance with the identified breach during the representation period would not, in itself, be reason for the Council to determine that the imposition of a financial penalty was inappropriate. However, compliance at that stage

may be relevant with respect to any mitigating factors that could decrease the amount of any imposed financial penalty.

- 8.7 If, following the receipt of written representations and/or the expiry of the time period to make written representations, the Council decides to impose a financial penalty on the person, it will give the person a Final Notice imposing that penalty.

The Final Notice will set out and summarise:

- a) The amount of the financial penalty,
- b) The reasons for imposing the penalty,
- c) Information about how to pay the penalty,
- d) The period for payment of the penalty,
- e) Information about rights of appeal, and
- f) The consequences of failure to comply with the notice

9.0 Discounts

- 9.1 The Council will automatically apply the following discounted rates to any imposed financial penalties in the following circumstances:

- A discount of 15% of the original calculated financial penalty will be deducted from the penalty imposed in the Final Notice should the penalty be paid within a specified time period (normally 28 days).

Illustrative example

The landlord of a Mandatory HMO property fails to obtain a licence. They only operate two HMO properties and there are no other relevant factors or aggravating features. The offence is regarded as a Very Serious matter. Upon receipt of the 'Notice of Intent' to impose a £17500 financial penalty. Written representations are made to the Council.

On account of the written representations received by the landlord, the council imposes a financial penalty of £16000. In the event the landlord pays within the specified period a 15% discount is given so that the landlord makes a discounted payment of £13600.

10.0 Recovering an unpaid Civil Penalty

- 10.1 The Council will consider all legal options available for the collection of unpaid civil penalties.

11.0 Income from Civil Penalties

- 11.1 Income from civil penalties recovered under section 23 of the Housing and Planning Act 2016 will be used to meet the costs and expenses (whether administrative or legal) incurred in, or associated with, carrying out any of its enforcement functions in relation to the private rented sector.

12.0 Guidance

- 12.1 This policy has been developed with specific regard to:
- Housing and Planning Act 2016
 - Civil Penalty Guidance under the Housing and Planning Act 2016
 - Electrical Safety Standards in the Private Rented Sector (England) Regulations 2019
 - Guide for local authorities: Electrical Safety Standards in the Private Rented Sector
 - Enforcement and Regulatory Private Sector Housing Policy
 - Civil Penalty Fee Calculation Procedure

13.0 Review

- 13.1 The policy is subject to change and will be reviewed periodically, in line with changes in legislation, Government guidance and Council policy. Minor changes to this policy may be required from time to time, and will be undertaken with the authorisation of the Director of Development, Finance and Regeneration.

14.0 Complaints and Redress

- 14.1 If you have any complaints about this policy we will investigate your complaint and will look carefully at the issue you have raised.
- 14.2 Please forward any complaints regarding this policy to the Private Sector Housing team via email privatesectorhousing@stockton.gov.uk or via telephone 01642 527797.
- 14.3 We will respond to a complaint as quickly as possible. Generally this will be within 10 working days.

15.0 Contact details

Private Sector Housing
Adults, Health and Wellbeing
Stockton-on-Tees Borough Council
16 Church Road
Stockton-on-Tees. TS18 1TX
Tel: 01642 527797 Email: privatesectorhousing@stockton.gov.uk

Civil Penalty Fee Worked Examples

WORKED EXAMPLES

WORKED EXAMPLE 1

Offence: Operating an unlicensed HMO

A landlord owns and operates an unlicensed HMO that has 5 tenants. The HMO is subject to the Mandatory HMO licensing scheme but is not in the designated areas for any other schemes. The landlord was made aware of the need to apply for a licence but chose to ignore these warnings and did not submit an application until after a court warrant of entry was executed to access the property and gather evidence that the property was an unlicensed HMO. The landlord operated the HMO with 5 occupants for 40 weeks before submitting an application and they charged £100 a week per tenant. In the last 2 years, the landlord has received a simple caution for not licensing another HMO and they have also had 2 improvement notices served on them, both of which were complied with.

The Severity of the Offence (Penalty Band)

Culpability	'Very High'	The landlord is aware of requirement to licence the property and the consequences of not doing so but has chosen not to comply regardless.
Seriousness of harm risked	'Level C'	Operating an unlicensed HMO does not mean that there are any defects or deficiencies in the property. As such, the seriousness of harm risked would not meet the descriptions of 'Level A' or 'Level B'.

Seriousness of Harm Risked	Culpability			
	Very high	High	Medium	Low
Level A	5+	5	4	3
Level B	5	4	3	2
Level C	4	3	2	1

Penalty Level	Penalty Band
1	£600 - £1,200
2	£1,200 - £3,000
3	£3,000 - £6,000
4	£6,000 - £15,000
5 / 5+	£15,000 - £30,000

With culpability level of 'Very High' and a seriousness of harm risked of 'Level C', the penalty band for the offence is Band 4. This gives us a starting amount of £6,000 and an upper limit of £15,000.

The Landlord's Income

Penalty Level	Relevant Weekly Income
1	Gross rental income or management fees for the property where the offence occurred or to which the offence relates
2	
3	
4	
5 / 5+	All income for the offender (carry out a financial assessment)

Penalty Level	% of Relevant Weekly Income
1	50% of relevant weekly income
2	100% of relevant weekly income
3	150% of relevant weekly income
4	250% of relevant weekly income
5	400% of relevant weekly income
5+	600% of relevant weekly income

The two tables on the left tell us that for Band 4, we should consider the income that the landlord gets from the property and that we should add 250% of this amount to the civil penalty.

We know that the landlord receives £500 a week in rental income and 250% of £500 is £1,250.

Therefore, we will add £1,250 to the civil penalty to account for the landlord's income.

The Landlord's Track Record

Offence	Weighting Score
1 caution for a relevant offence	2
2 relevant notices under Part 1 of the Housing Act 2004	10
Total	12

The landlord's track record gives us a score of 12 and this corresponds to a 30% increase in the starting amount.

Score	0	1-2	3-4	5-6	7-8	9-10	11-12	13-14	15-16	17-18	19-20
%	0	5%	10%	15%	20%	25%	30%	35%	40%	45%	50%
Score	21-22	23-24	25-26	27-28	29-30	31-32	33-34	35-36	37-38	39+	
%	55%	60%	65%	70%	75%	80%	85%	90%	95%	100%	

The starting amount for Band 4 is £6,000 and so a 30% increase means that £1,800 will be added to the civil penalty to account for the landlord's track record.

The Penalty Calculation

Starting Amount for Band 4	£6,000
Amount added because of the Landlord's track record	£1,800
Amount added because of the Landlord's income	£1,250
Total	£9,050

We get the total for the penalty calculation by taking the starting amount for the penalty band and adding the amounts we calculated for the Landlord's track record and their income. The three amounts added together give us a total of £9,050.

The next step is to check whether the total for these three amounts is higher or lower than the upper limit for the penalty band. If it is lower, we will use the amount we have calculated but, if it is higher, we will cap the amount at the upper limit.

The upper limit for Band 4 is £15,000 and so our total of £9,050 is a lower amount and will be the amount we will use for our civil penalty. If our total had been a higher amount, we would have used £15,000 instead.

Financial Benefit from the Offence

In this example, the landlord was legally permitted to have 4 tenants before they needed to apply for a licence (i.e. before they were committing an offence). As such, the rental income from the first 4 tenants is not financial benefit from the offence that was committed.

However, they were not permitted to put a 5th tenant in the property without a licence (or a duly made application) and so the rental income from this tenant is financial benefit that they obtained by committing the offence.

The 5th tenant was in the house for 40 weeks before a duly made application was submitted and they paid £100 a week during this period. This gives us a total of £4,000 over the period of the offence.

If we take the £9,050 that we calculated above and then add the £4,000 in financial benefit, we get a total of **£13,050** and this is the amount that we will impose a civil penalty for.

WORKED EXAMPLE 2

Offence: Failing to comply with an improvement notice

A landlord owns and manages a house occupied by an 80 year old lady. An improvement notice was served on the landlord following an inspection which found one Category 1 hazard (Excess Cold) and several Category 2 hazards. The landlord did not comply with the notice. The Council had tried to work informally with the landlord by writing to him prior to serving the Improvement Notice and advising him of the work that was required. The landlord also owns one other property. The Council undertook the work in default of the landlord and placed a charge on the property

The Severity of the Offence (Penalty Band)

Culpability	'Very High'	The landlord was aware of the need to comply with the Improvement Notice but actively tried to avoid complying with it.
Seriousness of harm risked	'Level A'	The property had a large number of hazards that posed a serious risk to the occupants.

Seriousness of Harm Risked	Culpability			
	Very high	High	Medium	Low
Level A	5+	5	4	3
Level B	5	4	3	2
Level C	4	3	2	1

Penalty Level	Penalty Band
1	£600 - £1,200
2	£1,200 - £3,000
3	£3,000 - £6,000
4	£6,000 - £15,000
5 / 5+	£15,000 - £30,000

With culpability level of 'Very High' and a seriousness of harm risked of 'Level A', the penalty band for the offence is Band 5+. This gives us a starting amount of £15,000 and an upper limit of £30,000.

The Landlord's Income

Penalty Level	Relevant Weekly Income
1	Gross rental income or management fees for the property where the offence occurred or to which the offence relates
2	
3	
4	
5 / 5+	All income for the offender (carry out a financial assessment)

The two tables on the left tell us that for Band 5+, we should consider the all of the income that the landlord receives and that we should add 600% of this amount to the civil penalty.

We know that the landlord receives £200 a week in all income and 600% of £200 is £1,200.

Therefore, we will add £1,200 to the civil penalty to account for the landlord's income.

Penalty Level	% of Relevant Weekly Income
1	50% of relevant weekly income
2	100% of relevant weekly income
3	150% of relevant weekly income
4	250% of relevant weekly income
5	400% of relevant weekly income
5+	600% of relevant weekly income

The Landlord's Track Record

Offence	Weighting Score
1 relevant notice under Part 1 of the Housing Act 2004	1
Total	1

The landlord's track record gives us a score of 1 and this corresponds to an 5% increase in the starting amount.

Score	0	1-2	3-4	5-6	7-8	9-10	11-12	13-14	15-16	17-18	19-20
%	0	5%	10%	15%	20%	25%	30%	35%	40%	45%	50%
Score	21-22	23-24	25-26	27-28	29-30	31-32	33-34	35-36	37-38	39+	
%	55%	60%	65%	70%	75%	80%	85%	90%	95%	100%	

The starting amount for Band 4 is £15,000 and so an % increase means that £750 will be added to the civil penalty to account for the landlord's track record.

The Penalty Calculation

Starting Amount for Band 4	£15,000
Amount added because of the Landlord's track record	£750
Amount added because of the Landlord's income	£1,200
Total	£16,950

We get the total for the penalty calculation by taking the starting amount for the penalty band and adding the amounts we calculated for the Landlord's track record and their income. The three amounts added together give us a total of £16,950.

The next step is to check whether the total for these three amounts is higher or lower than the upper limit for the penalty band. If it is lower, we will use the amount we have calculated but, if it is higher, we will cap the amount at the upper limit.

The upper limit for Band 5+ is £30,000 and so our total of £16,950 is a lower amount.

Civil penalties are always capped at £30,000 per offence.

Financial Benefit from the Offence

In this example, the landlord did save money by not completing the works on the notice but this financial benefit was effectively removed by the works in default and the subsequent charge for them. As such, at the time of considering the civil penalty, the landlord has not obtained any financial benefit from committing the offence. This means that no additional amount will be added to the total amount.

There is no financial benefit from this offence and so we get a total amount of £16,950, which is the amount that we will impose the civil penalty for.

WORKED EXAMPLE 3

Offence: Failure to comply with management regulations in respect of Houses in Multiple Occupation.

The landlord is the appointed manager of a three bedroom licenced HMO. The company is paid £22 per week to manage the property on behalf of the owner. During a compliance inspection, it was found that they had neglected to display any of the manager’s details anywhere in the property. They were warned about this one year ago and stated that they were aware of the requirement but an oversight meant that they missed this property when displaying details. They have not been the subject of any formal enforcement action in the last 2 years and the property was otherwise in a satisfactory condition.

The Severity of the Offence (Penalty Band)

Culpability	‘Low’	The company does not have a history of non-compliance and the breach was fairly minor and easily rectified.
Seriousness of harm risked	‘Level C’	The seriousness of harm risked to the tenants was low and so it would not meet the descriptions of harm found in ‘Level A’ or ‘Level B’.

Seriousness of Harm Risked	Culpability			
	Very high	High	Medium	Low
Level A	5+	5	4	3
Level B	5	4	3	2
Level C	4	3	2	1

Penalty Level	Penalty Band
1	£600 - £1,200
2	£1,200 - £3,000
3	£3,000 - £6,000
4	£6,000 - £15,000
5 / 5+	£15,000 - £30,000

With culpability level of ‘Low’ and a seriousness of harm risked of ‘Level C’, the penalty band for the offence is Band 1. This gives us a starting amount of £600 and an upper limit of £1,200.

The Landlord's Income

Penalty Level	Relevant Weekly Income
1	Gross rental income or management fees for the property where the offence occurred or to which the offence relates
2	
3	
4	
5 / 5+	All income for the offender (carry out a financial assessment)

Penalty Level	% of Relevant Weekly Income
1	50% of relevant weekly income
2	100% of relevant weekly income
3	150% of relevant weekly income
4	250% of relevant weekly income
5	400% of relevant weekly income
5+	600% of relevant weekly income

The two tables on the left tell us that for Band 1, we should consider the income that the landlord gets from the property and that we should add 50% of this amount to the civil penalty.

We know that the landlord receives £22 a week in management fees and 50% of £22 is £11.

Therefore, we will add £11 to the civil penalty to account for the landlord's income.

The Landlord's Track Record

Offence	Weighting Score
No offences or notices in the last 2 years	0
Total	0

The landlord's track record gives us a score of zero and this means there will be no increase in the starting amount.

Score	0	1-2	3-4	5-6	7-8	9-10	11-12	13-14	15-16	17-18	19-20
%	0	5%	10%	15%	20%	25%	30%	35%	40%	45%	50%
Score	21-22	23-24	25-26	27-28	29-30	31-32	33-34	35-36	37-38	39+	
%	55%	60%	65%	70%	75%	80%	85%	90%	95%	100%	

The Penalty Calculation

Starting Amount for Band 4	£600
Amount added because of the Landlord's track record	£0
Amount added because of the Landlord's income	£11
Total	£611

We get the total for the penalty calculation by taking the starting amount for the penalty band and adding the amounts we calculated for the Landlord's track record and their income. The three amounts added together give us a total of £611.

The next step is to check whether the total for these three amounts is higher or lower than the upper limit for the penalty band. If it is lower, we will use the amount we have calculated but, if it is higher, we will cap the amount at the upper limit.

The upper limit for Band 1 is £1,200 and so our total of £611 is a lower amount and will be the amount we will use for our civil penalty. If our total had been a higher amount, we would have used £1,200 instead.

Financial Benefit from the Offence

In this example, the cost of displaying Landlord C's management details would be negligible and so it would not be reasonable to claim that financial benefit was obtained from committing the offence.

There is no financial benefit from this offence and so we get a total amount of £611, which is the amount that we will impose the civil penalty for.

**NOT FOR PUBLICATION BY VIRTUE OF
PARAGRAPH(S) OF SCHEDULE 12A
LOCAL GOVERNMENT ACT 1972**

AGENDA ITEM

REPORT TO CABINET

14TH NOVEMBER 2024

**REPORT OF SENIOR
MANAGEMENT TEAM**

CABINET DECISION

Adults Social Care - Lead Cabinet Member – Councillor Pauline Beall

LOCAL ACCOUNT FOR ADULTS, HEALTH AND WELLBEING

SUMMARY

The Making it Real Board (the strategic group for co-production, made up of people with lived experience of care and support along with the Cabinet Member for Adult Social Care and Council Officers) were asked by the Director of Adults, Health and Wellbeing to co-produce a Local Account for the Adults Health and Wellbeing Directorate.

The Local Account is a brief document to be published and shared with our citizens to celebrate the successes across the Adults, Health and Wellbeing Directorate over the last year, to share the challenges and agree the priorities for the year ahead.

REASONS FOR RECOMMENDATIONS/DECISIONS

RECOMMENDATIONS

1. The report be noted
2. Agree and endorse the Local Account for Adults Health & Wellbeing 2024.

DETAIL

1. The Making it Real Board was formed in January 2024 as a strategic group for co-production. The Board is made up of local people with lived experience of drawing on care and support (social care, health or wellbeing services) in Stockton-on-Tees, working in equal partnership with Stockton-on-Tees Borough Council.
2. The Director of Adults, Health and Wellbeing asked the Making it Real Board to co-produce a Local Account for 2024. Whilst it is not mandatory to publish a Local Account, it is considered good practice as a way of reflecting on a Local Authority's Adult Social Care functions over the last year, improvements made, and its priorities for the year ahead. In order to acknowledge the achievements, challenges and priorities across the whole Directorate, the request was for the Local Account to span all of the Council's Adults Health and Wellbeing services.

3. Examples of Local Accounts were gathered and shared at the Making it Real Board as a starting point. A small working group was formed in April 2024 comprising some members of the Making it Real Board and Council Officers from two service areas within the Adults Health and Wellbeing Directorate. Officers from Adults Social Care, Public Health, Housing and A Fairer Stockton-on-Tees and Public Health were asked to share information about specific achievements, challenges and future priorities in those areas, to be considered for the Local Account.
4. Progress on the Local Account was brought back to each Making it Real Board meeting at each part of its development, for direction and agreement.
5. In its latter stages, members of the working group have liaised with the Council's Communication and Design and Print Teams to prepare the document for publication within the parameters of the Council's branding requirements, with the aim of maintaining the fidelity of the original document design as far as possible.
6. The Local Account will be a public document for all citizens across all wards in the Borough.

COMMUNITY IMPACT IMPLICATIONS

The Local Account has no direct impact on any protected characteristics: it is a public report and does not directly change how we provide services.

However, the Local Account will be of interest to people accessing services, or providing care (paid or unpaid) in Stockton on Tees and the family/friends of people drawing on care and support.

CORPORATE PARENTING IMPLICATIONS

This report does not contain any corporate parenting implications.

FINANCIAL IMPLICATIONS

There are no identified financial implications.

LEGAL IMPLICATIONS

There are no legal implications.

RISK ASSESSMENT

The Local Account is categorised as low to medium risk. Existing management systems and daily routine activities are sufficient to control and reduce risk.

WARDS AFFECTED AND CONSULTATION WITH WARD/COUNCILLORS

The Local Account will be published for sharing across all of Stockton-on-Tees. It is not anticipated that there will be any specific impact on any specific wards.

BACKGROUND PAPERS

There are no background papers to note.

Name of Contact Officer: Natalie Shaw
Post Title: Assurance and Co-Production Manager

Telephone No. 01642 526644

Email Address: natalie.shaw@stockton.gov.uk

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Adults, Health & Wellbeing

Local Account 2024



Opening statement from Cllr Pauline Beall



Cllr Pauline Beall
Cabinet Member Adult Social
Care

I am so proud of the partnership work between the Making It Real Board and the Council to develop and deliver the Local Account.

Our Making it Real Board was set up in January of this year and is a key step to ensuring that people with lived experience have a voice in the shaping and delivery of adult social care in Stockton-on-Tees, so that we provide the best care and support with people at the centre.

We want our residents to live in a place where they are healthy, safe and protected from harm and where we provide the right care and support, at the right time, to maximise people's independence.

This Local Account showcases the great services we offer, the key achievements and upcoming priorities for the coming year.

Thank you to everyone involved in the Local Account document, especially the Making It Real Board members for all their hard work and contributions.

Councillor Pauline Beall
Cabinet Member Adult Social Care

Foreword

I am delighted to introduce the Local Account for Stockton-on-Tees Borough Council Adults, Health & Wellbeing. The Local Account is the story of what we have achieved across our services over the last year, as well as sharing our challenges and our priorities for next year. I am delighted that this has been co-produced with our citizens who have lived experience of Adults, Health and Wellbeing Services in the Borough.

I am passionate about Social Care and working with people to achieve their ambitions, their goals and focusing on their strengths. I joined the Council in July 2023, and one of my key priorities was for us to work with citizens in developing a Making it Real Board in Stockton-on-Tees Borough Council. It has been amazing seeing this become a reality, with a formal structure and Terms of Reference.

We know that there are challenges and things that we can do better. We want to do the very best we can for our citizens, so embracing the challenges and areas where we are working to improve our performance and delivery of adult care and support is essential.

This will not be an easy task: like most other local authorities, we face budget pressures and growing demand on our services, so it is more important than ever that we work with people with lived experience and our partners to shape care and support. That's why we have introduced a Making it Real Board to change the way that we work.

I believe this Local Account gives an honest summary of Adults, Health and Wellbeing in Stockton-on-Tees, reflecting the great things that have been happening and the differences made to people's lives. I would like to pass my sincere thanks to the Making it Real Board members for their commitment over the past year and for the hard work that has gone into the Local Account.

This Local Account is supported by our elected Members and the Cabinet Member for Adult Social Care, Councillor Pauline Beall.



Carolyn Nice
Director for Adults, Health
and Wellbeing

The Making It Real Board

“Through the Local Account we aim to give some information about each of the services in Adults, Health and Wellbeing. We also share some of the achievements, as well as the challenges faced and their priorities they will focus on for next year. A local account reported on by local board members for local citizens.

The Making It Real board meets monthly at the Council, where we are sharing our views and lived experience to shape services. Representing citizens and communities in the Borough through our voices and sharing our experiences and thoughts. Each board member is living in Stockton-on-Tees and drawing upon their experiences of at least one or more services included within this Local Account.

As Chair of the Making It Real Board I have been delighted that board members have co-produced this Local Account and our views are valued through our involvement.”

Jak Savage MBE, Chair of Making It Real Board



Jak Savage MBE,
Chair of Making It Real Board

Our Priorities as a Board

Co-production and our ways of working

Stick to our values, be authentic and work together as a partnership. Ensuring we always co-produce meaningfully.

Sharing our views and lived experience to shape services

Appreciate our differences, uniqueness and the value our experiences can bring. Focusing on work to make services better for the future.

Working with our Council to make things better

Hold the Local Authority to account and review the work it is doing to meet it's priorities.

Representing citizens through our voices.

We will be inclusive, accessible and broaden our thinking about citizens of all ages. We will report our work through Stockton-on-Tees News magazine, Council website and events.

"It's really exciting to be working with the Making it Real Board members for our Local Account. There is a real energy and buzz in the group and it has been a great opportunity for us to build on relationships and get to know each other better.

Co-producing the Local Account means that we are telling the story about Adult Social Care in Stockton-on-Tees over the last year and agreeing priorities with the views, experience and expertise of people drawing on services at the centre. This is keeping it real for the people of in Stockton-on-Tees."

Natalie Shaw, Assurance and Co Production Manager

"I enjoy being part of the Making It Real Board because it is a place where I feel seen and heard. My contribution or suggestions are welcome and everyone works as a team to achieve a common goal."

Yosola Falana, Making It Real Board Member

"It has been great to work alongside those with lived experience as equal partners to understand and appreciate their insight to understand what's important and how to do things better than what we have previously done in developing the Local Account. A timely reminder on how to do things properly when developing plans and agreeing priorities for those who have direct experience on what we deliver as services, whilst being able to share some personal experiences together in a safe and non-judgemental environment."

Haleem Ghafoor, Strategic Lead A Fairer Stockton-on-Tees (AFSOT) & Community Engagement

"The main reason for going on to the Making It Real Board is that I could bring my own experience of living with barriers. I am the best one to decide what is right for me without being told, I am living with that disability not anyone else. Obviously, the aim of going on to the board, even if I can educate one person, hopefully more! About the challenges I have had to face and overcome, it's well worth doing.

I am someone who likes to negotiate and even if not ending up getting exactly what I want but managing to get a strong point of view over and coming to an equal compromise between both parties, is excellent. Also, with the experience I have if I can train or help others to achieve their goals that's a brilliant outcome. I don't want an award for doing this, I just want to see others achieving their goals.

That is what is important to me. It has taken us time to get to this stage where we want it to be but we get there with support from the Council, and I am really enjoying the board."

Denise Ross, Vice Chair of Making It Real Board



are on the Making It Real Board and live in the Borough



Adults, Health and Wellbeing Overview

Within the Adults, Health and Wellbeing Directorate there are four service areas: Adult Social Care, Community Safety and Regulatory Services, Public Health and Housing and A Fairer Stockton-on-Tees. These areas all work together, with each area having its own specific responsibilities. Through the Local Account each area has identified their achievements over the last year as well as challenges and priorities for the year ahead.



Adult Social Care

Support and services for people who have care and support needs and people at risk of abuse or neglect. We help people who are older or living with a disability or physical or mental illness to stay independent, living safely and well in their own homes for as long as possible. Advise or arrange long term residential or nursing home care, which may include help with funding when people are unable to live independently. We offer advice and support to carers whatever their age, who provide informal care for people living in the Borough.

Community Safety & Regulated Services

We work with local businesses, residents, community groups, Councillors and partner agencies to ensure local businesses are well-run, anti-social behaviour is addressed, our pubs and taxis are operated safely, local areas are clean and unpolluted. We want people to stay safe in their own homes through our OneCall services (offering technology solutions to support people to stay independent).



Housing & A Fairer Stockton-on-Tees

We provide advice and support to people with a housing need including those who are homeless or fear homelessness, seeking housing on Tees Valley Home Finder or with mobility needs through delivering a Disabled Facilities Grant Service. We also support people if they live in the private rented housing sector or should their property be in disrepair. We work with our local communities and the Voluntary, Charitable and Social Enterprise (VCSE) sector to support communities to 'help themselves'.

Public Health

We are responsible for improving the health and wellbeing of our local population. We do this through working in partnership with the Council, communities and other partners to address health inequalities in our areas and protect and promote good health and wellbeing for our citizens of all ages. We focus on working with partners to build strength in our communities, including employability, access to green space and good access to support services. We also provide public health services (including sexual health, smoking cessation, and drug and alcohol support services).



Wellbeing Hub

We are proud to introduce the new Wellbeing Hub which opened in Wellington Square in Stockton Town Centre in July 2024.

This is an exciting partnership between Tees Esk & Wear Valleys NHS Foundation Trust, Stockton-on-Tees Borough Council and Catalyst Stockton-on-Tees (the charitable organisation that facilitates leadership for the voluntary, community and social enterprise sector in Stockton-on-Tees).

The Wellbeing Hub offers support with employment, money, housing, isolation, loneliness, mental health, bereavement and drug and alcohol support. The Wellbeing Hub is not a crisis centre. Please still call 111 or contact First Contact 01642 527764 in a crisis.

101

People supported through the hub between 24 July and 24 September

30

average number of activities run by our partners at the Wellbeing Hub

4,850

visits to the Wellbeing hub in 2023 and 2024

Feedback from citizens who have accessed the Wellbeing Hub:

"The ability to co-locate together, share information and work as a multi-agency, holistic team to provide support to those needing it is the best job in the world."

"We didn't know you could offer such a range of support."

"We love the ease of access, warm welcoming environment, and friendly staff. We look forward to coming every week."

"I feel like a new man ... I have started making new friends and am going out again"

"Outstanding"

The Livewell Dementia Hub

The Livewell Dementia Hub provides a single first point of contact for information and support for people living with dementia and their loved ones. Offering signposting and resources on the range of activities and support available throughout the Borough. Providing group and one to one support.

Working alongside partners to bring together an array of support available including; memory clinic, cognitive stimulation therapy, gentle seated exercise, music and singing, Citizens Advice and carers education and support.

Feedback from a carer who attended the Livewell Dementia Hub and session facilitated by the Carers' Service at the Globe: "You are the most perfect people to run those music groups and you bring so much pleasure to those that come along. Mum so enjoyed the group. Getting her up for a little dance was amazing. Thank you so much to you both for what you do your kindness will never be forgotten."



Adult Social Care



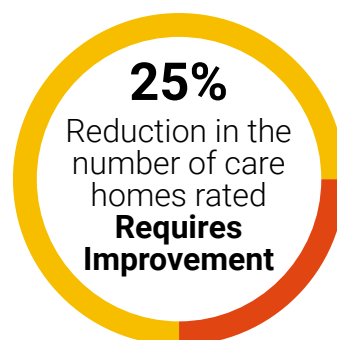
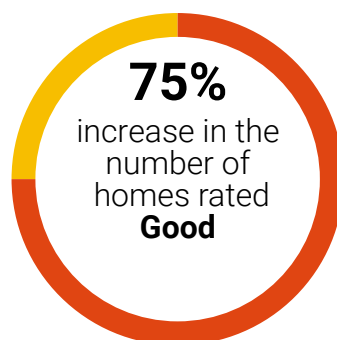
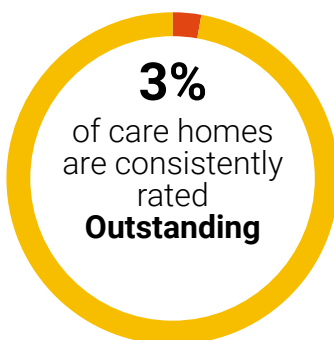
Angela Connor
Assistant Director, Adult Social
Care and Principal Social Worker



Emma Champley
Assistant Director, Strategy &
Transformation

Our Achievements

- Over the last year we have continued to work with our care providers to improve services. We have also developed networking groups with our partners (including the Learning Disabilities Network) to focus on good practice and development and improve the quality of care and support.
- All of the services provided by Stockton-on-Tees Borough Council (Rosedale Centre, Oak Road, Reablement, Shared Lives, Lanark Short Breaks Service and OneCall) are rated as 'Good' by the Care Quality Commission (CQC). The CQC ratings for the care homes (nursing and residential care) commissioned by Stockton-on-Tees Borough Council over the last two years have seen significant changes.



"I have noticed an improvement in the environment at my wife's care home which makes it better for everyone living there." - Husband of a person living in a care home.

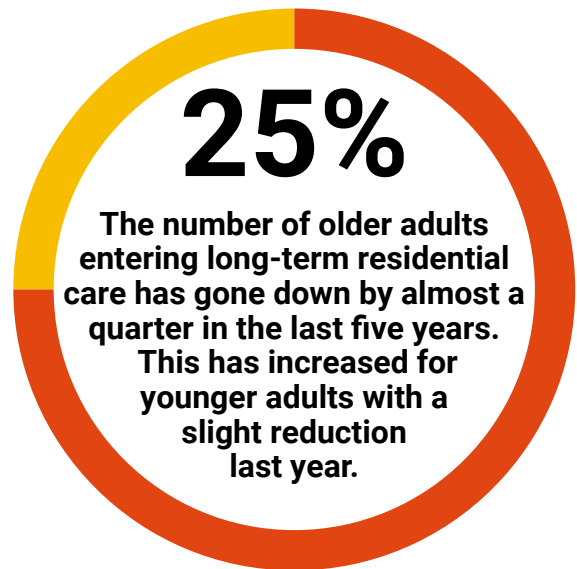
Supporting People's Choice and Independence

Direct payments in social care are cash payments from a local authority that allow people to arrange and pay for their own care and support services instead of receiving them directly from the local authority. The payments are a way of improving people's choice, control, and independence. This is self-directed support which means managing the person's support in a way that best suits them, looking at what they want to achieve and the support they need to do this.

Last year, over 700 people who were either drawing on Adult Social Care or were unpaid carers received a Direct Payment.

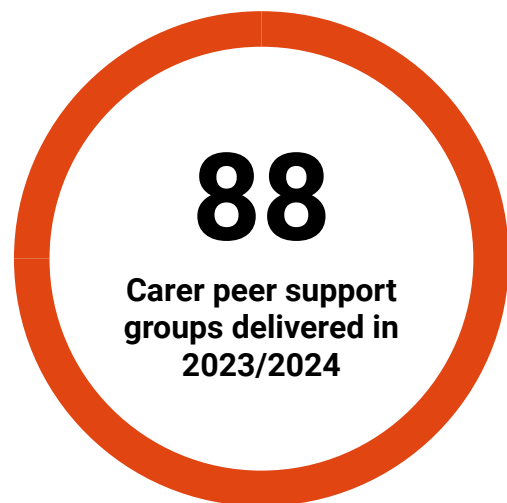
The number of older adults entering long-term residential care has gone down by almost a quarter in the last five years. This has increased for younger adults with a slight reduction last year.

We have continued to work with people who request support from Stockton-on-Tees Borough Council to remain independent. Last year we saw more requests for help which resulted in people being supported at home through technology such as minicams, telecare and community alarms.



Supporting Unpaid Carers

The Stockton-on-Tees Adult Carers Support Service provides information, advice and support to unpaid adult carers within Stockton-on-Tees. The service provides a single point of contact for carers and professionals and delivers a range of services to enable carers to maintain their own wellbeing and continue in their caring role. The service works with professionals, carers and the community in order to identify and address the needs of local informal carers. The aim of the service is to support carers from as early in their journey as possible to ensure they maintain their own wellbeing and enable greater resilience. In this way, it is hoped we are able to prevent, delay and reduce the need for more traditional, formal and intensive services such as referrals to adult social care. The service is now co-located at the Livewell Hub alongside the Shared Lives and dementia support services.



Ann-Marie's Story

“ My journey with the Occupational Therapy Service at Stockton-on-Tees Borough Council started 12 years ago when I rang to ask for an assessment. I live with a physical disability and had been having serious falls. The Occupational Therapy Service has been nothing short of amazing and has made the world of difference to my life, supporting me to stay in my own home when otherwise I would have needed additional care and support. Sarah, my Occupational Therapist, has always been there to support me, discussing my options with me, not being overpowering but empowering me to live my life as I want to live it and maintain my independence.

Some of the ways I have been supported is through accessing the Disabled Facilities Grant to have wheelchair-friendly flooring installed in my house and an adapted kitchen. Sarah also put me in touch with a charity for support with re-decoration. I feel proud that I have been able to access such a brilliant service with a team that really cares and goes the extra mile to support our citizens to stay independent, living safely and well in our own homes for as long as possible. ”

STEPS Community Bridge Building

Robert works at Stockton-on-Tees Borough Council supported by the STEPS Community Bridge Building service. This service helps people with a disability or those aged 50 and over at risk of social isolation and loneliness. Robert has worked in a number of roles and is currently based in the Adults Safeguarding Team as an Administration Assistant.

Feedback from citizens who have accessed the STEPS service:

“I like to keep busy, I don't like feeling bored. My job is a mixture of what I know and new things. I like learning and the worker from STEPS will be supporting me with new computer skills soon. My job gets me out and I like earning my own money. It makes me feel like more of a man, and I can put my money towards my hobbies and things I like to do. The new office is a lot better than the old one. It's more modern and has its own café. I really like it.”

“The first thing I would like to say about Robert is that he is very much part of the Adult Safeguarding Team, having worked in the team since 2015. Over the years we have strived to create a nurturing environment for Robert to enable him to thrive and develop. It's been highly rewarding to see his confidence grow over the years and see him adapt to changes. He has formed good working relationships with other team members and we all look forward to seeing Robert on a Friday morning and hearing about his model railway, baking and sausage dog called Norma. He plays an important part each week in sending out survey letters to enable us as a local authority to capture individual feedback from adults or their representative who have been involved with Adult Safeguarding procedures.”

**- Adult Safeguarding Team Manager,
Stockton-on-Tees Borough Council**

Our Challenges

- As more people live with the challenges of the cost of living, and longer and/or with conditions that may impact on their ability to live independently, we are continuing to look for ways to support people to live independently at home with the
- Recruitment for care at home services has continued to be challenging. To address this we have developed and promoted opportunities for recruiting and retaining staff in Adult Social Care. We have invested in paying providers more and have increased the rate for Direct Payments.

Our Key Priorities for the year ahead

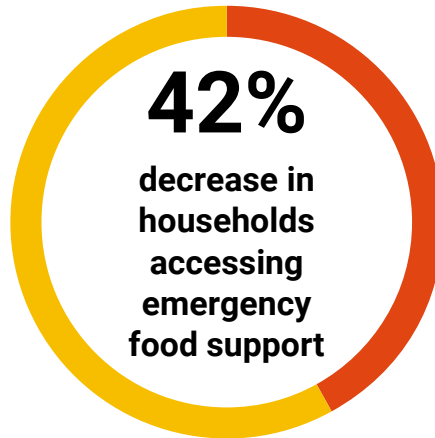
- We will ensure that the person is at the centre of their care and support, with a focus on their strengths.
- We will increase opportunities for co-production and continue to develop this in to what we do in Stockton-on-Tees.
- We will strive to improve the choice of places to live to support more people with care and support needs to live independently.



Housing and A Fairer Stockton-on-Tees

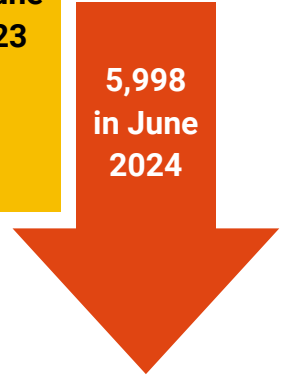


Jane Edmonds
Assistant Director, Housing and
A Fairer Stockton-on-Tees



10,263
in June
2023

5,998
in June
2024



Our Achievements

- We have provided advice and support to 3,000 households experiencing or threatened with homelessness.
- In May 2023, Bright Minds Big Futures received The Queen's Award for Voluntary Service -the highest award given to volunteer groups across the UK and is equivalent to an MBE. In the last year we have supported young people through Bright Minds Bright Futures to deliver 800 volunteer hours.



A national award-winning youth-led movement, working together with Stockton-on-Tees Borough Council to make the Borough a great place to grow up





- Through **The Bread & Butter Thing** we have set up **five The Bread & Butter Thing Hubs** across the Borough, offering high-quality, low-cost food to everyone in Stockton-on-Tees. The food comes from supermarkets, factories and farms, meaning you can help reduce waste while also reducing your cost of living. To date, 38 support organisations have attended The Bread and Butter Thing collection sessions, providing advice and additional support to around 1,800 members accessing the service, on topics including benefits, housing, employability and health.
- We have seen the positive impact of The Bread and Butter Thing with an an overall reduction in the number of people accessing emergency food support over the last year.

In September 2023, The Fairer Stockton-on-Tees team held a 'Thank You' celebration for the wonderful volunteers that run our The Bread and Butter Thing (TBBT) hubs across the Borough. Around 30 volunteers came together to share their successes since the scheme launched its first hub in September 2023. We were joined by The Bread and Butter Thing staff who took part in an honest discussion about the scheme and how it is running with an aim to share good practice amongst hubs and find solutions to common challenges.

Without the kindness and dedication of volunteers, this valuable support would not have been able to happen. Over 7,000 sets of shopping have been sold to residents since April 2024. Thank You!



D'S Story



I have been in contact with the homeless service on and off since 2014. In that time the homeless service has referred me to a number of services but the placements didn't work out because I found it hard to engage with services and maintain my accommodation and I have been a rough sleeper. The homeless service had also made lots of referrals to Stockton-on-Tees Borough Council's Social Care Service. but they were unable to engage with me due to a lack of accommodation and my substance misuse. I was identified as a person at risk of dying on the street having met the criteria of the Teeswide Safeguarding Adults Board High Risk Adults Panel.

Last year I was referred into the Rough Sleeper Accommodation Project try to stabilise my drug misuse, physical health and so that I could have an assessment of my ability to keep myself safe and manage my home environment. This was in partnership with the homeless team and safeguarding social work team. In Autumn 2023 I moved into a flat managed and supported by staff at Thirteen Housing. Due to my history regular support was added into the package by the Council's housing homeless team, along with Change Grow Live (CGL) substance misuse services. Recently a new package of care was organised by Adult Social Care so that I had further support to maintain my accommodation. I am now engaging with all services including my health appointments. I am now ready for a move into social housing and I am bidding on properties on Tees Valley Home Finder. This is all being supported by the Homeless team and Adult Social Care at the Council.



Community Spaces with a Warm Welcome

Across the Borough, we have almost 70 venues registered as Community Spaces.

Community Spaces were previously known as Warm Spaces but they offer much more than warmth and are open all year round. They are free, non-judgmental public places people can go for shelter, save money on their household bills, avoid social isolation, receive vital support and advice while staying as well as possible.

Through collaboration, ongoing funding support and the tireless work of staff and volunteers across our Community Spaces venues, residents have been provided with 70 safe spaces where they can access support, advice, socialise and often receive a warm drink and/or meal.

You can find your nearest Community Space at www.stockton.gov.uk/community-spaces-directory



Feedback from citizens who have attended Community Spaces venues across the Borough:

"It was a great atmosphere to walk into. Now it's my go to place and why I was determined to get out of the house and come today."

"This is one of the highlights of the week for me and my wife."

"It is lovely to see friends and play games together. All for free and it gets us out and into company."

Our Challenges

- Cost of living pressures have led to more demand for services.
- Funding pressures and stretched budgets across the service resulting in increased pressure in delivering services.
- There is a lack of available properties that are affordable for citizens.

Key Priorities for the year ahead

- To continue to prevent homelessness, support those who find themselves homeless and reduce rough sleeping.
- Support people to remain safe and independent in their homes for as long as possible.
- Work with our local communities and VCSE sector to support those experiencing poverty/cost of living challenges.
- Continue to support Bright Minds Bright Futures (to ensure the voices of young people are heard).
- To continue to work with our local communities to support them to 'help themselves', by providing an effective community engagement service (community-led activity).

Public Health



Sarah Bowman-Abouna
Director of Public Health

Our Achievements

- We have been working with partners to review the Stockton-on-Tees Health and Wellbeing Strategy for 2024-2029. The new Strategy will focus much more on how we work together with communities to improve the building blocks that contribute to health and wellbeing.
- In the last year, we have expanded our drug and alcohol services to further improve people's access to support, treatment and recovery as part of the national drug strategy. We introduced a new service with Recovery Connections, offering Peer Support.
- We have partnered with Harrogate & District NHS Foundation Trust to improve the delivery of the national healthy child programme for 0 -19 years, through health visiting, school and public health nursing community services.
- In April 2023 we launched a new domestic abuse service with more services for families experiencing abuse. Harbour provides services for children and adults who are victim-survivors of domestic abuse including safe accommodation. It also offers a 26-week programme promoting behaviour change for perpetrators of domestic abuse.
- We have also increased the number of NHS Health Checks to identify and support people at risk of heart disease, stroke, diabetes and kidney disease.

1,489

people accessed the
Stop Smoking Service
in 2023/2024 and
set a quit date

1,750

people supported by
the drug and alcohol
service in the
last year

1,700

people engaging with
the Domestic Abuse
Service last year

Our Challenges

- In Stockton-on-Tees, our main public health challenges continue to be obesity, smoking, alcohol and drug addiction, domestic abuse and mental ill-health.
- There is poorer health and wellbeing in the most deprived communities in our Borough and persisting health inequalities. We have one of the widest gaps in life expectancy in the country - just under 17 years for men and 18 and a half years for women -between people living in the most deprived wards and those living in the most affluent wards.
- We also face funding pressures. Funding for public health initiatives is often only short-term meaning we face a challenge in ensuring we can continue to deliver some of our support services.

Rosie's Story

Rosie (not her real name) attended a community pantry and lunch club. She shared with the staff that she is on medication to help with her mental health. Having previously been a school cook, she was glad to be invited to a cooking session where she received a slow cooker and casserole cookbook free of charge. Rosie believes this has saved her money on energy bills. Staff learnt she needed financial support and referred her to the citizens Advice Bureau (CAB) who have assisted with her immediate and longer-term issues, going 'above and beyond' in her words.

Rosie is regularly helped with emergency food parcels when the CAB are working on complex financial issues that can't be resolved overnight. It came to light that some of Rosie's financial issues stemmed from supporting family members, who have since been offered support and referred to services such as the Stockton-on-Tees Active Travel Hub as they were eligible for a free bike. Rosie has also been helped by Thirteen Housing's Hardship Fund. She said: "This community pantry and lunch club really is a godsend; I don't know how I would manage without it most weeks."



Key Priorities for the year ahead

- We will publish the new Health & Wellbeing Strategy.
- We will review our stop smoking services and offer a new range of support.
- We will expand our drug and alcohol services to improve access to treatment and recovery as well as strengthening prevention and early help to reduce drug and alcohol-related harm.
- We will promote sexual health prevention and services.

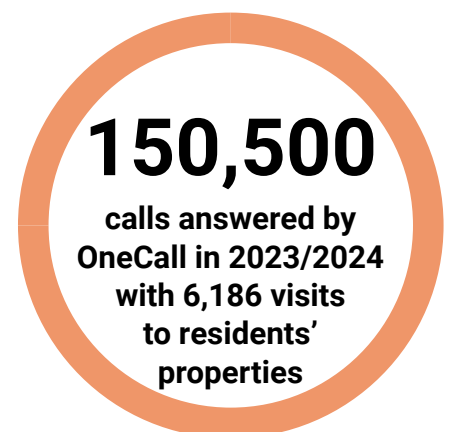
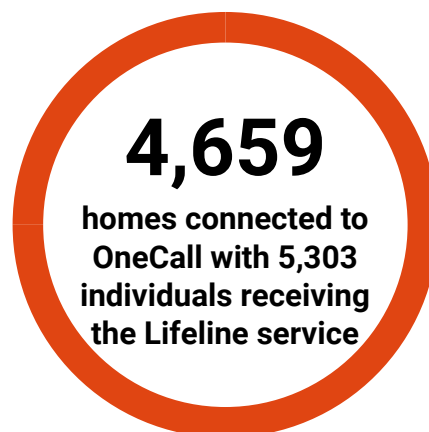
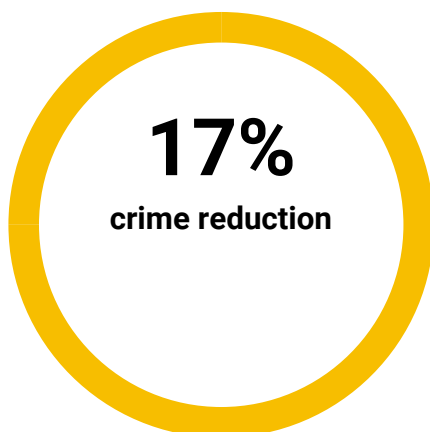
Community Safety and Regulated Services



Marc Stephenson
Assistant Director, Community
Safety and Regulated Services

Our Achievements

- We have inspected 100% of our food premises to keep our takeaways, shops and restaurants safe and hygienic.
- We have delivered a 17% reduction in crime in the last 12 months in partnership with Police and other partners.
- We have protected our local animals through our work to return stray dogs to their owners and address other animal welfare issues.
- We have supported residents to stay safe in their own homes through our OneCall services.



Our Challenges

- Continuing to provide services that respond to the complex challenges faced by the Borough's residents from poorly run businesses, anti-social behaviour, rogue traders and poorly managed licensed premises.
- Continuing to protect our local environment from poor air quality, smoke, noise and pests.
- Securing further funding for projects to keep our communities safe.

Celebrating National Great Big Green Week at Stockton-on-Tees Environment Fair

This special event - the first of its kind in Stockton-on-Tees - took place in June 2024, celebrating community action to tackle climate change and protect nature. Reuben Kench, the Council's Director of Community Services, Environment and Culture, said: "The Council is always looking for ways to reduce our carbon footprint and do all we can to help fight climate change in Stockton-on-Tees, but we can only do that collectively with people across the Borough.

The Environment Fair hosted a range of organisations with information and fun activities for people to learn more about reducing their own carbon footprint and living more sustainably plus information on walking and cycling routes, as well as electric cars for anyone looking into greener travel options. People also had the chance to Pedal for Power on the smoothie bike.

Other initiatives to support our environment and improve the air quality in Stockton-on-Tees over the last year include working with schools to deliver assemblies and develop lesson plans for our Key Stage 2, Celebrating Clean Air Day and constantly monitoring our air quality.



OneCall Story

Mrs A was first referred to OneCall to support her discharge home from the Rosedale Centre. Her family have always supported her wish to remain at home for as long as possible and OneCall meant that this could happen. OneCall attended Mrs A's home to assist her following a number of non-injurious falls, always ensuring her family were kept informed. When Mrs A started having more falls, OneCall raised concerns with family and Adult Social Care so that Mrs A's care package could be reviewed to support her to remain living at home. Additional sensors were installed and although there were further hospital admissions, Mrs A remained living at home.

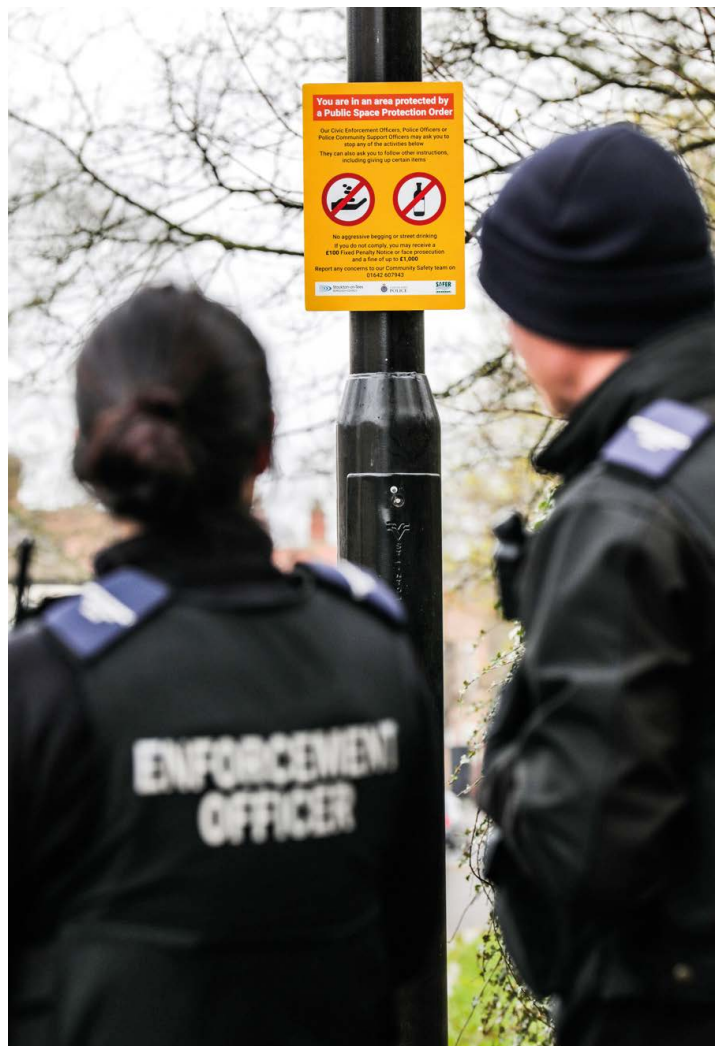
“ As a family we are writing to express our sincere gratitude and admiration for the outstanding service OneCall provided to our 94-year-old Mum over the last six months.

The service allowed her to maintain her independence and to live safely within her own home. The wrist alarm and bed sensors installed were incredibly reliable and knowing that she was connected to a support network at all times was invaluable, both to her and to us as a family. The service helped to maintain her dignity and independence and gave us the reassurance that she was in the best possible hands. Even when we couldn't be there ourselves, as we live/work away, the communication and follow up calls kept us well informed and reassured. We are truly grateful for the care, professionalism, and thoughtfulness that the OneCall team consistently demonstrated. The work you did had such a positive impact on our family, and we cannot thank you enough for the exceptional support you provided. ”

Feedback from Mrs A's Family

Key Priorities for the year ahead

- We will continue to work in partnership with the Police and other agencies to reduce crime and increase feelings of safety in our Borough.
- We will produce an Air Quality Strategy for the entire Borough of Stockton-on-Tees in collaboration with a wide range of partners to raise awareness of air quality and reduce pollution levels in our Borough.
- We will continue to provide a free Pest Control Service for residents, for public health pests.



How we will keep our progress under review

This Local Account has been written with our citizens, for our citizens, and it's really important that we keep this real for people in Stockton-on-Tees.

We will do this by:

- Discussing the Local Account at every Making it Real Board meeting and monitoring the progress that is being made.
- Holding an annual meeting where people can hear about the Local Account
- We will publish an annual update on the Local Account in the Stockton-on-Tees News magazine.
- Sharing what we have done to meet this year's challenges and priorities in the Local Account for next year.

Sources of Support

First Contact 01642 527764

Emergency Duty Team (Out-of-Hours) 01642 524552

The Bread and Butter Thing - Stockton-on-Tees Borough Council Hub locations:
www.stockton.gov.uk/the-bread-and-butter-thing

Here to Help - Stockton-on-Tees Borough Council

www.stockton.gov.uk/here-to-help-hub

Stockton-on-Tees Wellbeing Hub

(open Monday - Friday 9am to 5pm) Unit 5 Wellington Square, Stockton-on-Tees TS18 1RG
hello@stocktonwellbeinghub.org

Stockton-on-Tees Borough Council Carers' Support Service

01642 524494

carerssupport@stockton.gov.uk

Stockton-on-Tees Wellbeing Dementia Hub

01642 527363

livewell-hub@stockton.gov.uk

Stockton Information Directory

www.stocktoninformationdirectory.org

Making It Real in Stockton-on-Tees

The Board is keen to 'make it real' for everyone in the Borough. So, over the next 3 months we will be actively seeking out new members, voices and experiences from individuals and groups that are not currently represented in discussions.

If you would like to know more about Making It Real in Stockton-on-Tees, email involvement@stockton.gov.uk or call **01642 528622**



AGENDA ITEM

REPORT TO CABINET

14TH NOVEMBER 2024

REPORT OF SENIOR MANAGEMENT TEAM

CABINET INFORMATION ITEM

Health, Leisure and Culture - Lead Cabinet Member – Councillor Steve Nelson

CARE AND HEALTH WINTER PLANNING UPDATE

Summary

This briefing provides an update to Cabinet on Winter planning work across the Council, working with partners. This includes measures in place across Adult Social Care (ASC) to respond to Winter pressures and the associated increase in service demands.

Recommended that the report be noted.

Detail

Winter Planning

1. Significant challenges continue to be evident for communities and across the health and wellbeing system as we head into Winter 2024 including the ongoing with cost-of-living pressures, seasonal illness, the unpredictable impact of Covid given it does not yet have an established seasonal pattern, and very real financial and workforce pressures across organisations.
2. A range of activity is underway, having commenced in late Summer, to plan for and mitigate the impact of Winter. As in previous years, the Tees Valley Local A&E Delivery Board (LAEDB) has oversight of NHS planning and coordination with partners, feeding into regional (Northeast and North Cumbria) arrangements and has Local Authority representation. The LAEDB are compiling a comprehensive overview of Winter plan arrangements and will share this with the wider system in November.
3. The Health and Wellbeing Board seeks assurance on the systems in place to mitigate and respond to the impacts of Autumn and Winter at a local level, as the statutory body with oversight of the health and wellbeing system.

4. The North East Health Protection network continues to meet to consider the impact and mitigation of infectious disease and feed into regional and local arrangements including emergency planning discussions.
5. Adult Social Care Winter planning takes place in Spring, utilising key learning from previous years – the work underway is summarised later in this briefing.
6. Cleveland Local Resilience Forum (LRF) also continue to support wider system resilience as needed. The borough's Major Incident Plan, updated in 2023, ensures that an appropriate response can be put in place in the event of a major incident due to adverse weather.
7. Through our links to the national weather warning systems and communications resources through the Department of Health and Social Care, our usual arrangements are in place to communicate key messages to our communities when we are warned of adverse weather events. For example advice on keeping warm and checking on vulnerable neighbours in the event of sudden cold snaps.
8. In addition to the LRF and local NHS-lead Winter planning infrastructure, there is a local multi-agency Health Protection Collaborative which reports to the Health and Wellbeing Board. The Collaborative maintains oversight of key health protection issues on behalf of the Board, facilitates joint working and brings updates to the Board for assurance. The Collaborative is chaired by the Director of Public Health and covers key issues such as infectious disease control, screening and immunisations and public health key messaging on protecting the local population's health and wellbeing in adverse weather events. It also provides local public health support and advice into the major incident planning process.
9. During 2023/24 some specific work on integration across health and care has been underway, with a focus on 'Home First' and on admissions avoidance. Updates on this work are covered in this briefing. This work is lead by a 'Coalition of the Willing' of leaders from across the health and care system and reports into Team Stockton.

Integration workshops

10. A range of organisations have been meeting for facilitated discussions throughout 2024, to bolster joint working and identify and progress areas of closer collaboration and integration. Two key areas of focus are admissions avoidance and Home First, both of which support the approach to Winter planning and response as well as contributing to the wider work across organisations on a more coordinated and proactive early intervention offer, particularly for those at highest risk of poor health.

Admissions avoidance

11. Analysis of key population data across the system has been taking place (and continues to develop) to identify the main causes of admission to hospital and needing support from social care in the Winter months.

Infectious Disease Surveillance

12. The main national monitoring system for Covid-19 population prevalence through the ONS was stopped in 2023. Recognising the ongoing need of broader surveillance than hospital data, a smaller version of the survey was reinstated from October 2023 to support ongoing population surveillance.
13. According to the latest England data for Covid-19 infections, 8.9% of people in the North East had Covid (week commencing 23rd September 2024), an increase on the previous week (5.4%). 13.4% of people in England were positive for Covid (week commencing 30th September).
14. Covid-19 hospitalisations in the North East were 8.1 per 100,000 (week commencing 30th September), which is an increase on the previous week (6.6 per 100,000) and higher than the England average (4.55 per 100,000); however they remained significantly below those seen in Spring 2023 and Christmas 2022. Covid-19 continues to have an unpredictable pattern of peaks and troughs of cases and has not yet settled into a seasonal pattern as with flu.
15. As expected for Autumn, North East Influenza infections (0 to 0.6% positivity) and RSV infections (1.6% positivity) remain low (for the week commencing 23rd September 2024). National RSV positivity had a small increase to 1.6%, and national flu positivity had a small increase to 1.9% for the week commencing 30th September. Higher influenza and RSV rates are most common between December and February.

Covid, flu and vaccinations

16. The Tees Valley Vaccination Board continues to have oversight of the flu and Covid vaccination programmes and reports into the regional ICB (Integrated Care Board) immunisation board. Locally, public health continues to monitor population vaccination coverage and works with the ICB to identify and plan targeted vaccination clinics for areas with lower vaccination coverage and higher risk groups.
17. Nationally there was a decrease in flu vaccination rates in Winter 2023/4 compared to Winter 2022/3 across all age groups except 2-3yr olds, although uptake in those aged 65yrs+ remained good (77.8%).¹ Equally Covid vaccination uptake rates in the recent Spring booster campaign were lower than uptake in the height of the pandemic.
18. To protect vulnerable groups at greater risk, the national decision was taken to start staggered flu vaccination (commencing for some groups 1st September 2024) and wider flu and Covid-19 rollout on 3rd October 2024. **APPENDIX 2** sets out eligible groups. Vaccines are being evolved constantly in response to these viruses.
19. The NHS have started inviting people for their Covid-19 vaccination in priority order of risk and those eligible will be able to book an appointment through the National Booking Service website or by calling 119. The borough is well covered for Covid vaccinations across the Primary Care Networks (PCNs – groups of GP practices) and the local GP Federation (Hartlepool and Stockton Health).
20. Community pharmacies also offer flu and COVID-19 vaccinations to those who are eligible. Flu and COVID-19 vaccinations may also be purchased from pharmacies by population groups who are not eligible for free vaccinations through the NHS. (Please

find a list of community pharmacies who have signed up to offer COVID-19 and Flu vaccines in **APPENDIX 3**). COVID-19 and flu vaccinations can be administered together, where this is available.

21. Public health and the ICB are working together to explore delivery of some bespoke Covid-19 vaccination clinics for eligible groups in deprived areas and with vulnerable groups which are typically associated with lowest uptake. The flu vaccination is also available on request at these clinics. To-date we have delivered two clinics in Stockton Town Centre (High St. - 18th October) and Thornaby Pavilion (21st October). Uptake was excellent:

Stockton: 150 COVID-19 and 75 Flu vaccines were administered.

Thornaby: 200 COVID-19 and 100 Flu vaccines were administered.

22. Due to the success at both clinics, two further clinics will be held at the same locations: at Thornaby Pavilion on Monday 18th November and Stockton Town Centre on Friday 22nd November. In addition we have a scheduled clinic at Billingham Bandstand on Friday 8th November. A children's only pop-up vaccine clinic was delivered on Friday 1st November at Little Woodbridge in Thornaby (opposite the Woodbridge Medical Practice).
23. Public health is working closely with the Fairer Stockton-on-Tees team, New Walk CIC, and H&SH (Hartlepool & Stockton Health GP Federation), planning to deliver COVID-19 vaccines during a homelessness event hosted by New Walk CIC in December. This is still in its planning stage.
24. A national vaccination programme for RSV (respiratory syncytial virus) has commenced; it is recommended during pregnancy and for adults aged 75-79yrs. RSV can make babies and older adults seriously ill and is a key reason for people seeking healthcare support (GP and hospital) in the Winter months.
25. National NHS communications messaging to promote flu, COVID-19 and RSV vaccinations has been disseminated widely, supported by local joint working with SBC (through social media channels, etc.). SBC is also supporting messaging on flu, COVID-19 and RSV vaccines through our community wellbeing champions network who are representatives from across the borough and its communities and work with public health to develop appropriate and accessible messaging and communicate these within communities.
26. Occupational health flu and Covid vaccination programmes have started in NHS trusts and primary care. NHSE are undertaking proactive work to increase vaccinations among staff and among patient groups (e.g. pregnant women, long stay patients, people with a learning disability) with a particular focus on clinicians being a 'trusted voice' (based on evidence).
27. Free flu vaccinations for SBC employees are again provided this year by the Council's Occupational Health team with the aim to vaccinate 600 staff starting in October 2024. To reflect the changes in eligibility in the national flu programme, all SBC staff are eligible, but vaccination of frontline health and social care workers are prioritised. Ongoing promotion of staff vaccination continues through our forums and links with the local care sector.

Health Protection work with key settings

28. People most at risk in Winter and more vulnerable from cold weather include:
- people aged 65 and older
 - babies and children under the age of 5
 - people on a low income (so cannot afford heating)
 - people who have a long-term health condition
 - people with a disability
 - pregnant women
 - people who have a mental health condition
29. Work continues with the care sector through provider forums and updates with adult social care managers as needed. This provides the opportunity to disseminate key messages and resources, 'temperature check' with providers on impact of Winter illness and provide support as required.
30. Key relevant Health protection messages (including about infection prevention control and vaccinations for young people) are regularly shared with school settings via the schools' newsletter and also as needed directly with schools.

Local health protection response

31. General health protection principles and measures apply into the Autumn and Winter, regarding the management of Covid. Though it is not yet established as a 'seasonal' illness, national policy now means that prevention and response reflect guidance for other respiratory illnesses. Should there be a new variant that warrants considering a step-up of response, SBC public health will liaise closely with the UK Health Security Agency (UKHSA) on this and any further action needed. In the meantime we continue to monitor the position, liaise with UKHSA and offer support and advice particularly to our care sector as required.
32. Dissemination of consistent and clear messages on keeping well in Winter remains important and includes:
- Good hand and respiratory hygiene
 - Avoid passing on infections – Stay at home if you are unwell
 - Flu, Covid and RSV vaccinations – Get vaccinated
 - Keeping warm and getting help with heating
 - Getting advice if unwell (pharmacy, 111, GP)
 - Looking out for others

Adult social care support

33. To collaborate effectively with North East and North Cumbria Integrated Care Systems (ICS) to alleviate anticipated winter pressures facing the health and social care sector for 2024-2025, Adult Social Care (ASC) will continue to deliver a range of key services and step up support in several areas where pressure in the system is identified.

Demand and capacity management

34. The Council monitors the care market to understand capacity and quality pressures to ensure we can meet our statutory duties. Currently (September 2024) the biggest challenge to the market is the capacity for nursing care home provision. Work is progressing (led by the ICB and supported by staff from ASC) to ensure we have sufficient capacity to meet current and future demands.
35. In relation to our care at home provision, the new framework will go live on 4th November 2024. This framework has been designed in collaboration with stakeholders and people accessing support to address some of the challenges the market has faced over the past 24 months. It includes an expectation that the primary provider (we have retained the model where a provider has responsibility for a locality) will pick up new care packages within the timeframes identified in the framework agreement (3 days). Where they lack the capacity, we will expect them to subcontract to another provider on the framework agreement for a mutually agreed timeframe, to allow mobilisation of the primary provider.
36. As part of our established approach to introducing a new framework, kick start meetings will take place in November plus enhanced contractual monitoring and provider support to ensure the transition into the new framework is as seamless as possible.
37. Contractually, all providers are required to submit Winter Contingency plans by 31st Oct each year. We are expecting 100% return on these and will continue to monitor compliance and use these plans to support our management of pressures over the period.
38. From a quality perspective, we aim to ensure all providers are operating effectively and able to provide care and support to those people who need that support. Managing the quality of care provision is an essential element of winter preparedness. For 24/25 we are delivering a full PAMMS schedule for all 30 care homes on the Older Persons Care Home framework. (PAMMS = Provider Assessment and Market Management Solution, an electronic assessment tool enabling the Council to monitor and evaluate quality developed by the Access Group). In addition, we have capacity to undertake up to a further 6 assessment of services which intelligence indicates may be at risk, to ensure we can support proactively.
39. Registered care homes and care at home providers continue to attend the care provider forums for key messages and support throughout the year.

Ensure adult social care teams have sufficient staff and access to care capacity to continue supporting people to live independently in their own homes wherever possible in line with Care Act 2014 principles

40. ASC introduced monthly performance meetings in March 2024 to monitor staff capacity and demand. The Performance meeting enables and supports contingency planning across operational teams, this has included the deployment of our peripatetic social work staff to meet areas of most need and the reallocation of work between teams where capacity issues are identified. Where capacity is identified in the wider market (care at home provision and residential care), commissioning staff are involved in the discussion and take these issues forward through their contractual networks.
41. The Operational Performance meeting is part of the Performance Framework which enable capacity and staffing issues to be escalated through to the Strategic Performance

group and where required through to Performance SMT and the Directors Performance Dashboard.

Ensure a home first approach

42. The Virtual Frailty Wards (Hospital at Home) implemented in 2023 continue to operate in Stockton-on-Tees. The current system has capacity to support people in their own home, negating the need to be taken to hospital, when safe.
43. We have continued to develop services to address current and projected demand in the system including a pilot to offer overnight support for people being discharged from hospital to support them to return home (this pilot will go live in November 2024).
44. The current commissioned D2A provision has been brought in house (from 7th October) and will be delivered by the Council's reablement service allowing these people to receive a more reablement focused support to ensure they can remain as independent as possible. The demand on reablement following this transfer will be monitored and any capacity / demand issues will be addressed as part of the performance approach identified above.

Monitor the impact of winter on local people and the social care workforce

45. ASC have established processes which support the day-to-day management of activity in the system. The Holding List procedures allow managers to risk assess and priorities any referrals awaiting allocation and alongside the regular monthly performance meetings (where teams share information around capacity and waiting lists), provides a clear and current picture of the waits across the service and potential bottlenecks because of demand and/or capacity in the system.
46. Alongside the weekly meeting to review outstanding placements or POC, this provides a clear route to support the escalation process in place for any urgent cases and options / resources needed to ensure people are kept safe.
47. The Adult **Safeguarding** Team has well established processes in place to address concerns and section 42 enquiries, including daily meeting with the Police, Housing and CGL. The Team is currently fully staffed at present and can manage ongoing demand across the system and this is supported by regular meetings across the service to monitor work pressures and capacity within teams with the ability to move resources across teams to meet any increased demands in any areas.

Housing

48. The Council's Homelessness Service includes a Rough Sleeper Team who both respond to reports of rough sleeping and visit areas where rough sleeping may previously have occurred, with the aim of identifying those who may require advice and support. Whilst this is an all-year-round service, it is vitally important in the Winter months. In addition, the Council is committed to adopt the SWEP (Severe Weather Emergency) Protocol. SWEP is a universal offer to provide temporary accommodation for people sleeping rough in periods of severe weather (extreme cold, wind, snow, rain and heat).

Supporting our communities

49. Following the success of last year's conference, SBC public health arranged a Winter health conference for 1st October 2024 at the Employment and Training Hub, aiming to empower the VCSE sector and community groups with information, networks and resources to support communities this Winter. As last year, the event supported sharing information, experiences, good practice and building relationships, with presentations from a wide range of speakers and with over 50 attendees from a wide range of communities and organisations.
50. The draft [Anti-Poverty Strategy](#) has been co-produced working with the Positive Living (lived experience group) to understand how residents can help themselves and where the support of the Council is required. The Strategy [action plan](#) covers lots of planned activity which support residents with Winter Wellbeing.
51. A Winter Wellbeing guide is being developed by the Fairer Stockton and Public Health teams, together with updated webpages. These will be circulated across networks and partnerships to help those most needing support.
52. The second Stockton Winter Health and Wellbeing Festival will take place on 28th November 2024. This event will bring together a range of partners and organisations to engage with residents and provide information, advice, support as well as a host of fun activities and entertainment and a focus on mental health and wellbeing.
53. The Warm Homes Healthy People programme in the borough (funded through public health) offers support with boiler repairs, emergency heating, energy saving as well as debt and benefits advice: <https://www.stockton.gov.uk/Warm-Homes-Healthy-People>.
54. More widely, SBC continues to work closely with VCSE partners and the community in supporting the borough's residents, particularly those experiencing hardship due to the cost-of-living situation. Further details are outlined as follows.

Information and advice

55. Information and advice is provided through a range of means including:
- A Cost of Living Booklet ('Here to Help') providing an extensive range of information on both Council and partner services. A revised version is currently being pulled together to share in the coming weeks. The existing one which is also still useful can be found [here](#).
 - A central 'Here to Help' one-stop shop of information on the Council's website
 - Regular features in Stockton News promoting cost of living and winter wellbeing support services (see **APPENDIX 5**)

Food support

56. We have five hubs opened between September 2023 and March 2024. To date, we have 2,776 active members. Every week, our communities gather to manage the distribution of food, building friendships, skills, and connections. We have created 1,759 volunteering

opportunities in the community (totaling over 5,000 volunteer hours). We have distributed over 12,800 sets of bags, equivalent to over 396,000 meals. Every week, we improve diets with a diverse variety of healthy produce and products. 80% of this is made up of chilled goods and fruit and veg – delivering maximum nutritional benefit for members. The hubs also help reduce the stress of stretched finances. So far residents have benefited from a cumulative saving of around £320,000 by shopping with *The Bread and Butter Thing*. Agencies attend the various sessions to give advice and support to volunteers, also enabling volunteers to talk to residents collecting their shopping, regarding support available such as Red Balloons, CAB, SBC energy efficiency team, Cancer Support and SBC's Learning & Skills team.

57. The Food Aid Fund is an SBC grant that offers financial help to projects that provide food and personal hygiene products to Stockton-on-Tees residents. These include foodbanks, food clubs, food pantries, community cafés, VCSE organisations and churches. For the Summer 2024 funding round, we supported 47 organisations with a grant of up to £500 (total of £20k) to be spent by 30th September 2024.

Community Spaces (previously known as Warm Spaces)

58. The Council's network of 70 Community Spaces play a key role in supporting the Council's commitment to addressing inequality and poverty. Each venue offers a non-judgemental 'warm welcome' to residents who may be struggling with the cost of living or social isolation. Community Spaces are a key component of the Powering Our Futures Communities mission, helping to build community capacity and community resilience. The Fairer Stockton-on-Tees Team and Public Health have committed to continue to work collaboratively to support those experiencing social isolation.
59. All five '*The Bread and Butter*' hubs are also registered as Community Spaces. A directory of Warm Spaces is promoted on the Council's website <https://www.stockton.gov.uk/community-spaces-directory>.
60. To ensure Community Spaces are addressing our communities' needs and that VCSE partners are appropriately supported, an annual evaluation recently concluded in September 2024. This [report](#) provides an overview of the Community Spaces scheme and the main issues highlighted through monitoring conversations gathered between March and June 2024. Current challenges and recommended priorities for 2024/25 are also outlined. The report has been presented to the Adult Social Care and Health Select Committee and the Health and Wellbeing Board.
61. 87% of Community Spaces provided a response to this year's annual monitoring. The majority stated that they were content with the scheme and would like to remain part of it for 2024-25. Social isolation and the cost of living (struggling to pay utility and food bills) remain the two key reasons people attend a Community Space.
62. The value of Community Spaces to the Borough's residents is detailed in the case studies in the Appendix 1 of the annual monitoring [report](#). For example, the Wilson Centre, Long Newton stated: "The key issues are around loneliness and the need for companionship. People are happy to come to us. It is warm and comfortable and a focal point of the village. They talk about their problems and this really helps people."
63. In acknowledgement that most venues are run by our wider VCSE partners £60,000 of Public Health funding was secured (split equally between 2023/24 and 2024/25). This has allowed the Council to operate a small grants fund to help with potential set up costs

and vitally to support the long term-sustainability of venues. Looking ahead, it is imperative that Community Spaces venues are empowered and supported to achieve long-term sustainability by accessing wider funding. Work is ongoing to identify potential funding sources and vitally to support (and where appropriate up-skill) partners to make funding bid applications.

64. A Community Spaces network was launched in June 2024 as part of 'Community Spaces Thank You' event. This provided an opportunity to celebrate / thank staff and volunteers across the Borough, to network and deliver advice and support (for example a Catalyst presented on funding and bid writing support). Quarterly in-person Community Spaces Network events will be arranged with the aim of continuing to share ideas / provide updates on funding and training. Events will be supported by regularly newsletters/emails as opportunities arise.
65. A major development within the Community Spaces scheme is establishment of *The Thornaby Warm Welcome* (detailed on page 15 of the Community Spaces annual report) which has been rolled out across the Borough (**APPENDIX 4**).
66. Winter Warm Boxes: Funding was secured through CAB, with boxes distributed to those who most needed them through e.g. Community Spaces, Housing Officers and CAB. The project was highly regarded and all venues hope that this will be repeated for Winter 2024/25. Positive feedback from residents included: "*The hat was so warm, it has really helped me stay warm while watching TV on an evening*"; "*Love the Warm packs, my ninety-year-old neighbour struggles in these cold, winter months and it was great to give her these essentials to keep her warm. She said the gloves and socks have particularly made a difference*".

Consultation and Engagement

67. This report outlines a range of activity being undertaken in partnership with local communities and the VCSE to provide and improve access to support helping people to be as healthy as possible through Winter.

Next Steps

68. Beyond continuing the work described in this briefing, key updates or proposed changes in approach (e.g. in response to a new threat to population health) will be brought to the Corporate Management Team on through to Cabinet as needed.

Name of Contact Officer: Carolyn Nice
Post Title: Director of Adults, Health and Wellbeing
Telephone No. 01642 527054
Email Address: carolyn.nice@stockton.gov.uk

References

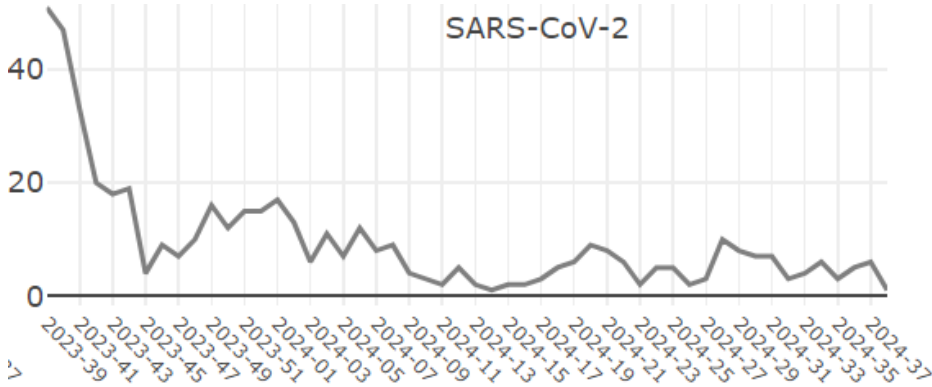
1. UKHSA: [https://www.gov.uk/government/news/18000-flu-related-deaths-in-past-2-winters-as-jab-uptake-falls#:~:text=Flu%20vaccine%20uptake%20rates%20winter,\(3%2C908%2C092\)%20compared%20with%2049.1%25](https://www.gov.uk/government/news/18000-flu-related-deaths-in-past-2-winters-as-jab-uptake-falls#:~:text=Flu%20vaccine%20uptake%20rates%20winter,(3%2C908%2C092)%20compared%20with%2049.1%25)

APPENDICES

APPENDIX 1

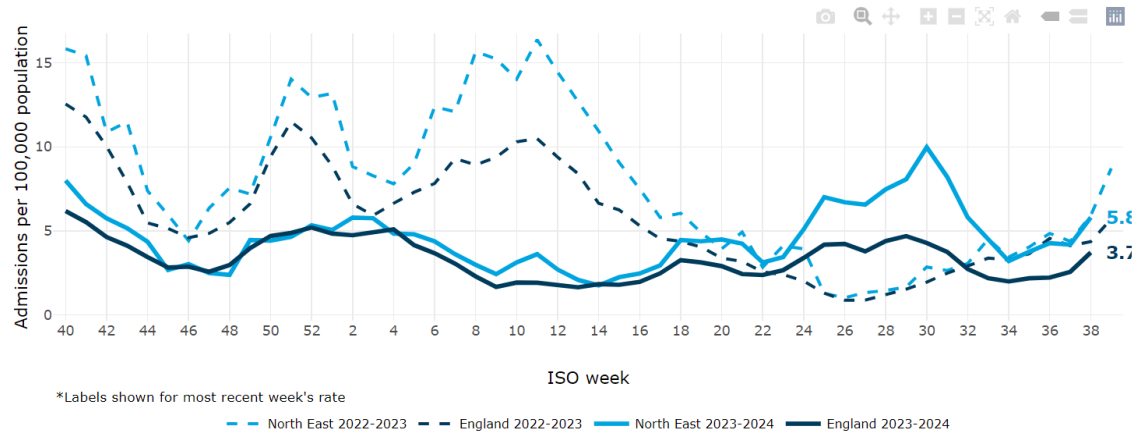
Communicable disease update (week commencing 16 September 2024 – most recently available at LA level)

Reported cases of COVID-19 in Stockton-on-Tees:

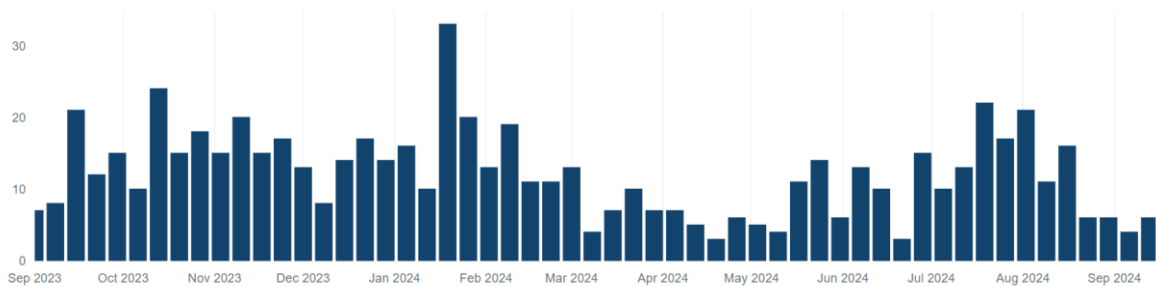


COVID-19 hospitalisations in the North East (and England):

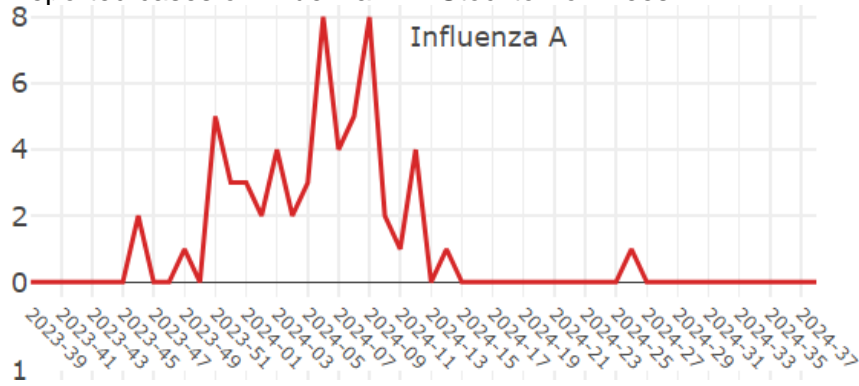
Figure 4. Hospital admissions with confirmed SARS-CoV-2 – SARI Watch (Mandatory Surveillance)



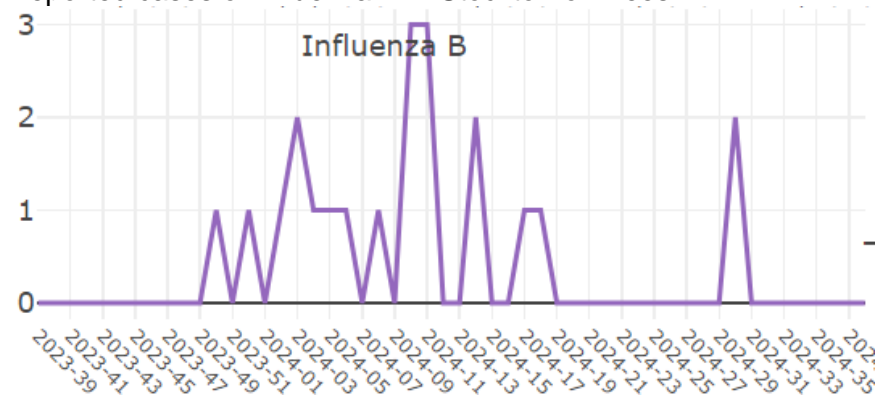
COVID-19 deaths in the North East (only up to 13 September 2024):



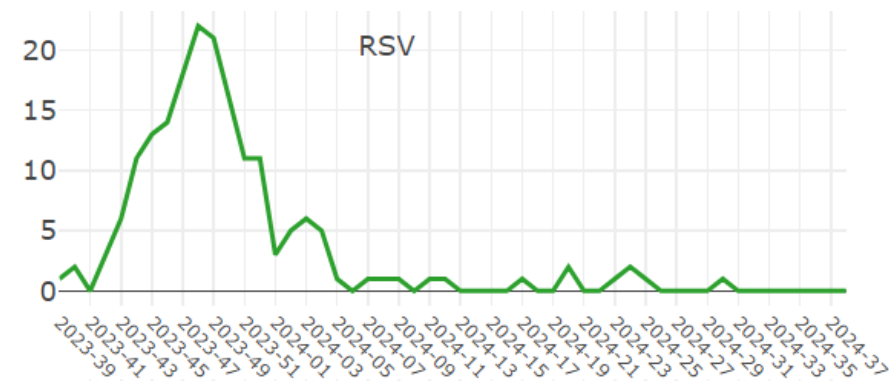
Reported cases of influenza A in Stockton-on-Tees:



Reported cases of influenza B in Stockton-on-Tees:



Reported cases of RSV in Stockton-on-Tees:



APPENDIX 2

Flu and COVID-19 vaccination eligible groups

Eligible Cohorts for NHS Covid & Flu Vaccination	Spring 2024 Seasonal Booster	Summer InterSeason	Autumn / Winter 2024/25 Seasonal Booster		
	COVID	COVID	COVID	FLU	
	Apr-24 to Jun-24	Jul to Aug-24	Oct-24 to Jan-25	Sep-24	Oct-24 to Mar-25
75+	✓		✓		✓
65+			✓		✓
All Residents in Older Adult Care Homes*	✓		✓		✓
All Residents in Care Homes which includes Older Adults*	✓		✓		✓
All Residents in Other Care Homes					✓
Housebound	*** Immuno-Suppressed Only		*** Clinical At Risk		✓
New Immunosuppressed 6 months+ (Primary Vaccination)**	✓	✓	✓	✓	✓
Immunosuppressed 6 months+ (Boosters)	✓		✓	Clinical Judgement	✓
<u>Clinical Risk 6 months+***</u>				Children 6 months to 17 yrs;	
Chronic diseases & conditions (Respiratory, Heart & Vascular, Kidney, Liver, Digestive System, Spleen, Neurological inc stroke/TIA, cerebral palsy or MS)	*** Immuno-Suppressed Only		✓	Clinical Judgement for 18+	✓
Endocrine Disorders, Morbid Obesity				Pregnant Women	
Serious genetic abnormalities					
Severe Mental Illness					
Pregnant women					
Frontline health and social care workers			✓		✓
Staff working in care homes for older adults			✓		✓
Household/Close Contacts of people with immunosuppression 12-64					✓
Carers aged 16 to 64 years					✓
School aged children 4-16 (Reception to Year 11)				✓	✓
All children aged 2 or 3 years on 31 August				✓	✓

Community pharmacies offering flu and Covid-19 vaccinations, Autumn 2024

Pharmacy	Address	Post code	Vaccine offer
Allied Pharmacy	Varo Terrace	TS18 1JY	COVID-19 & Flu
Allied Pharmacy	Yarm Lane	TS18 1YE	COVID-19 & Flu
Cohens Chemist - Yarm	Yarm Medical Centre, 1 Worsall Road, Yarm	TS15 9DD	COVID-19 & Flu
Davidson Pharmacy	3 Station Road	TS23 1AG	COVID-19 & Flu
Eaglescliffe Pharmacy	Unit 4 Orchard Parade, 18 Durham Lane, Eaglescliffe	TS16 0EH	COVID-19 & Flu
Fairfield Pharmacy	26-28 Glenfield Road	TS19 7PQ	COVID-19 & Flu
Harry Hill Chemist	8 Kenilworth Road, Billingham	TS23 2HZ	COVID-19 & Flu
Ingleby Barwick Community Hall	Haresfield Way, Beckfields Avenue	TS17 0YL	COVID-19 only
Newham Pharmacy	9-10 High Newham Court, Stockton-on-Tees	TS19 8PD	COVID-19 & Flu
Pharmacy Express - Thornaby	113 Lanehouse Road, Thornaby-on-Tees	TS17 8AB	COVID-19 & Flu
Synergise Pharmacy	56 Yarm Lane, Stockton-on-Tees	TS18 1EP	COVID-19 & Flu
Fairfield Pharmacy	26-28 Glenfield Road, Stockton-on-Tees	TS19 7PQ	COVID-19 & Flu
Preston Farm Pharmacy LTD	Unit 2 Harley Court	TS18 3WB	COVID-19 only
Stockton Pharmacy	70 Bishopton Lane	TS18 2AJ	COVID-19 & Flu
Pharmacy World	45 REDHILL ROAD, ROSEWORTH,	TS19 9BX	Flu only
The Pharmacy – Billingham	Abbey Health Centre	TS23 2DG	COVID-19 & Flu
Well – Stockton-on-Tees	161-162 High Street, Stockton-on-Tees	TS18 1PL	COVID-19 & Flu
Well – Stockton-on-Tees	QUEENS PARK SURGERY FARRER STREET	TS18 2AW	Flu only
Asda Pharmacy	ASDA SUPERSTORE, PORTRACK LANE,	TS18 2PB	Flu only
Morrisons Pharmacy	TEESSIDE RETAIL PARK, THORNABY,	TS17 7BP	Flu only
Boots	12-14 HIGH STREET NORTON	TS20 1DN	Flu only
Boots	UNIT 21B,GOODWOOD SQUARE, TEESIDE	TS17 7BW	Flu only

	RETAIL PARK,		
Boots	NORTON PRIMARY HC CTRE, BILLINGHAM ROAD, NORTON,	TS20 2UZ	Flu only
Expertcare Ltd (Norton Pharmacy)	UNIT 6, HANOVER PARADE, GLEBE CENTRE,	TS20 1RF	Flu only
Boots	THORNABY MEDICAL CENTRE, TRENCHARD AVENUE, THORNABY,	TS17 0EE	Flu only
Asda Pharmacy	ALLENSWAY, THORNABY,	TS17 9EN	Flu only
Newham Pharmacy	9-10 HIGH NEWHAM COURT, HARDWICK ESTATE,	TS19 8PD	Flu only
Tesco Pharmacy	DURHAM ROAD,	TS21 3LU	Flu only
Hepworth Chemist	20 GREENSIDE, LOWFIELDS, INGLEBY BARWICK,	TS17 0RR	Flu only
Kelly Chemist	32 Myton Road, Ingleby Barwick,	TS17 0WG	Flu only
Pharmacy Express	UNIT 9 SUNNINGDALE DRIVE, EAGLESCIFFE,	TS16 9EA	Flu only
Tesco Pharmacy	LEEHLIME ROAD, BILLINGHAM,	TS23 3TA	Flu only
Eaglescliffe Pharmacy	Unit 4 Orchard Parade, 18 Durham Lane, Eaglescliffe,	TS16 0EH	Flu only
Boots Yarm	UNIT 1, 44 HIGH STREET, YARM,	TS15 9AE	Flu only
Whitworth Chemists	7 HEALAUGH PARK, LEVEN PARK, YARM,	TS15 9XN	Flu only
Wynard Pharmacy	UNIT 8, 138 THE STABLES, THE WYND, WYNYARD,	TS22 5QQ	Flu only

APPENDIX 4

Warm Socials

Area	When	Where
ROSEWORTH STARTS 7TH OCTOBER	Mondays 1pm-3pm	Hope Church Centre Ragpath Lane, Roseworth, TS19 9AT
Thornaby	Tuesdays 10am-12pm	Thornaby Pavilion Wrightson House, Thornaby, TS17 9EW
Billingham	Tuesdays 10:30am-12:30pm	Billingham Forum The Causeway, Town Centre, TS23 2LJ
STOCKTON STARTS 25TH SEPTEMBER	Wednesdays 10:30am-12:30pm	Fountains Shopping Mall, Enterprise Arcade 35-37 High Street, TS18 1SB
Thornaby	Thursdays 1pm-3pm	Thornaby Pavilion Wrightson House, Thornaby, TS17 9EW
Newtown	Fridays 11am-1pm	Newtown Community Resource Centre 123, Durham Road, Stockton-on-Tees, TS19 0DE

APPENDIX 5

Stockton News (example of a recent article)

Our People

A Fairer Stockton-on-Tees

A Fairer Stockton-on-Tees is the Council's commitment to tackling inequality and making the Borough a better place to live for everyone. Visit www.stockton.gov.uk/a-fairer-stockton-on-tees to find out more about the strategy.

The Bread and Butter Thing

There are now five 'The Bread and Butter Thing' low-cost food hubs across the Borough, including new hubs at Newtown and Roseworth.

The scheme offers three bags of food worth around £35 for only £8.50, including fresh fruit and veg, chilled food and cupboard staples like cereal. You can also pay just £5 for an individual bag or £17 for a six bag 'family' deal.

Find out more at www.stockton.gov.uk/the-bread-and-butter-thing

Free boiler servicing available

As part of the Council's 'Warm Homes Healthy People' scheme, we are offering free boiler servicing to eligible residents across the Borough from July to September 2024.

To qualify, you must be the homeowner and have not accessed the scheme within the past two years, be claiming a means tested benefit and be 65 years or over. For residents under 65, you must be in receipt of a disability benefit, have a long term illness made worse by the cold, live with a child under 5 who has a long term illness made worse by the cold or you are living with dementia.

For further details of the eligibility criteria please visit www.stockton.gov.uk/Warm-Homes-Healthy-People or call 01642 528215 for further advice and information.



Going for gold family fun day

Come and join our free family fun day on Saturday 20 July with a range of activities between 10am and 2pm in Stockton town centre.

The fun day includes sports and games, crafts and activities and an eco-clothing shop offering free, donated school uniforms, sports wear, board games and hygiene products.

For more information, visit www.teesvalley-ca.gov.uk/visit/whats-on



Help us Kit out the Borough!

Do you have children's or young adult's sports clothes and footwear you no longer need?

We are looking for donations of good condition sportswear with drop off points at Billingham Forum, IB Leisure, Stockton Splash, Thornaby Pavilion and Thornaby Pool. Just look out for the Kit out the Borough donation bin.

For more information, contact sportsdevelopment@stockton.gov.uk

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